

# Indigenous Peoples Development Planning Document

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Updated Indigenous Peoples Development Framework  
Project Number: 40031  
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## India: Rajasthan Urban Sector Development Investment Program

Prepared by Local Self Government Department for the Asian Development Bank (ADB).

The indigenous peoples development framework is a document of the borrower. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature.

## INDIGENOUS PEOPLES DEVELOPMENT FRAMEWORK

### A. Overview

1. The Investment Program will optimize social and economic development in 15 selected towns<sup>1</sup> in Rajasthan through investments in urban infrastructure (water supply, wastewater management, solid waste management, urban drainage, and urban transport and roads), social infrastructure, and infrastructure support to cultural heritage. The Program will also provide policy reforms to strengthen urban governance, management, and support for urban infrastructure and services.<sup>2</sup>

2. Extensive consultations with stakeholders were conducted in the sample towns. Focus group discussions, meetings and individual interviews were held involving stakeholders, particularly affected households; and a socio-economic survey was conducted. In the project sites, however, scheduled tribes (STs) were not found in all the three sample towns. Based on discussions with the respective state government officials and city level socio-economic in sample towns, it was observed that STs (less than 4% of the town population) have already been mainstreamed into the society.

3. RUSDP will result in environmental and public health benefits to the population, STs and non-STs. The negative impacts on affected persons are mostly related to land acquisition. Negative impacts are addressed through resettlement plans (RPs) including specific entitlements for vulnerable persons that include IPs. Based on the *National Policy on Scheduled Tribes* displacement of tribal people should be kept to a minimum and undertaken only after possibilities of non-displacement and least displacement have been exhausted. When displacement becomes inevitable, each scheduled tribe family having land in the earlier settlement shall be given land against land. This will be reflected in the entitlement matrix of the RP. In view of this, the likelihood of sub-projects affecting IPs is small and likely impacts are addressed by RPs. Further, sub-project design prioritizes rehabilitation over new construction of infrastructure, avoiding land acquisition and consequent resettlement, and sub-project siting in built-up areas. Despite the small likelihood, there is a possibility that certain sub-projects identified during program implementation may have some impact on STs.

### B. Legal and Policy Framework

4. Article 366(25) refers to STs as those communities who are scheduled in accordance with Article 342 of the Constitution. According to Article 342 of the Constitution, STs are the tribes or tribal communities or part of or groups within these tribes and tribal communities which have been declared as such by the President through a public notification. Identification of tribes is a State subject. Thus, classification of a tribe would depend on the status of that tribe in the respective State. Therefore, tribes notified for Rajasthan State are Schedule Tribes in Rajasthan only and their category may vary in other States.

5. The Rehabilitation Policy for the displaced persons including the STs is being finalised by the Ministry of Rural Development, Government of India. The Ministry of Rural Development (Department of Land Resources) is the nodal Ministry for preparing the project affected persons (resettlement and rehabilitation) package including tribals. In pursuance of the directions of the Govt., a draft on "The Project Affected Persons (resettlement and rehabilitation) Bill, 2002" has

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<sup>1</sup> Particularly district headquarters and towns with significant tourism potential.

<sup>2</sup> The assistance will be based on the State-level framework for urban reforms, and institutional and governance reforms recommended by the Government of India through the Jawaharlal Nehru National Urban Renewal Mission and Urban Infrastructure Development Scheme for Small and Medium Towns.

been drafted and circulated to all concerned Ministries including the Ministry of Tribal Affairs. The draft bill inter-alia deals with the Relief and Rehabilitation Package for tribals as well. Respective State Governments are adopting various measures for the displaced STs including the PTGs by providing proper rehabilitation packages like housing, land for agriculture, irrigation, drinking water, electrification, education and various other developmental activities under beneficiary oriented programmes etc.

6. Government of India implements provisions contained in Panchayats (Extension to Scheduled Areas) Act, 1996. According to this Act, Gram Sabha has adequate power to regulate the MFPs (Minor Forest Produce) in tribal areas and Scheduled Areas.

7. The Ministry of Tribal Affairs, Government of India has drafted a National Policy on Scheduled Tribes to bring these tribes into the mainstream society through a multi-pronged approach for their all-round development without disturbing their distinct culture. The Policy stipulates that displacement of tribal people should be kept to a minimum and undertaken only after possibilities of non-displacement and least displacement have been exhausted. When displacement becomes inevitable, each scheduled tribe family having land in the earlier settlement shall be given land against land. To handle the problem of shifting cultivation, land tenure system is proposed giving tribals the right to land ownership so that they invest their energy and resources in checking soil erosion and fertility. The Policy seeks to tackle tribal land alienation by stipulating that:

- (i) Tribals have access to village land records.
- (ii) Land records be displayed at the Panchayat.
- (iii) Oral evidence be considered in the absence of records in the disposal of tribals' land disputes.
- (iv) States prohibit transfer of lands from tribal to non-tribal.
- (v) Tribals and their representatives are associated with land surveys

8. ADB's Indigenous Peoples Policy (1998) ensures equality of opportunity for indigenous peoples. It aims to ensure that any Bank-assisted development interventions which will have any impact on indigenous peoples will be consistent with the needs and aspirations of affected indigenous peoples and compatible in substance and structure with affected IP's culture and social and economic institutions. The IPDF recognizes the vulnerability of indigenous peoples and it specifically ensures that any project intervention, whether positive or adverse will be addressed by the implementing agencies. Moreover, the implementing agencies will ensure that affected IPs will have opportunities to participate in and benefit equally from such project interventions.

9. RUSDIP activities in urban areas are unlikely to have impacts on STs. However, an Indigenous People's Development Framework (IPDF) has been developed setting out the policy, principles and implementation mechanisms to address impacts if any, which is consistent with Government and ADB's policies. During the course of project identification and survey if IPs are identified, the impacts (both positive and negative) of the subproject component on affected groups/community will be addressed according to the IPDF. The IPDF will address the developmental needs of Scheduled Tribes as a distinct community through a process of sustainable development.

## **II. OBJECTIVES OF IPDF AND APPROACH TO IPDP PREPARATION**

## **A. Identification of IPs**

10. ADB's Indigenous Policy uses the following characteristics to define indigenous people (i) descent from population groups present in a given area before territories were defined; (ii) maintenance of cultural and social identities separate from dominant societies and cultures; (iii) self identification and identification by others as being part of a distinct cultural group; (iv) linguistic identity different from that of dominant society; (v) social, cultural, economic, and political traditions and institutions distinct from dominant culture; (vi) economic systems oriented more towards traditional production systems rather than mainstream; and (vii) unique ties and attachments to traditional habitats and ancestral territories.

11. Likewise, the President of India under Article 342 of the Constitution uses the following characteristics to define indigenous peoples [Scheduled Tribes (ST)], (i) tribes' primitive traits; (ii) distinctive culture; (iii) shyness with the public at large; (iv) geographical isolation; and (v) social and economic backwardness before notifying them as a Scheduled Tribe. Essentially, indigenous people have a social and cultural identity distinct from the 'mainstream' society that makes them vulnerable to being overlooked or marginalized in the development processes. In the context of the project cities, STs who have no modern means of subsistence, with distinctive culture and are characterized by socio-economic backwardness could be identified as Indigenous People's.

## **B. Approach to IPDP Preparation**

12. An Indigenous People Development Framework (IPDF) is a policy and procedural framework for Indigenous People Development Plans (IPDPs) that are developed for sub-projects and that are to be approved during Project implementation. Further, an IPDF sets out the indigenous people's policy together with the screening and planning procedures. In the case of the MFF, IPDF would concern itself with STs notified for the State in accordance with the Indian laws (herein after referred to as Indigenous Peoples (IPs)).

13. The need for a formulation of an IPDP will be established if the sub-projects to be funded under RUSDIP are screened as Category 'A' projects.<sup>3</sup> Category 'A' projects envisage significant impacts on IPs and they positively or negatively (i) affect their customary rights of use and access to land and natural resource; (ii) change their socio-economic status; (iii) affect their cultural and communal integrity; (iv) affect their health, education, livelihood and social security status; or (v) alter or undermine the recognition of indigenous knowledge.

14. If impacts are not significant, specific actions in favor of IPs can be incorporated within the Resettlement Plan (RP) formulated for the sub-project. This will include additional assistance for IPs as vulnerable groups. This would ensure appropriate mitigation of adverse program impacts on IPs and enhancement of program benefits for IPs.

15. The IPDP policy framework is based on the overall local and national development strategies and ADB's *Policy on Indigenous Peoples* (1998). The principal objectives are to:

- (i) ensure IPs affected by any sub-project will benefit from the Program;
- (ii) ensure IPs inclusion in the entire process of preparation, implementation, and monitoring of program activities;

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<sup>3</sup> As per the ADB's F3/OP (13 May 2004), screening process categorizes projects by the significance of their impacts on IPs. It is recommended that for (i) Category 'A' projects: Impacts should be significant that require IPDP and/or IPDF; (ii) Category 'B' Projects: Impacts are limited that require specific action for IPs, specified in RP; and (iii) Category 'C' Projects: No impacts on IPs that require no special provision for them.

- (iii) ensure benefits of sub-projects are available to IPs more than or at least equal to other affected groups; this may require giving preference to IPs as vulnerable groups over others on certain benefits under the Program; and,
- (iv) provide a base for IPs in the area to receive adequate development attention.

16. An IPDP addresses the aspirations, needs and preferred options of the affected indigenous peoples taking into consideration the marginality status of IP community and offers them development options while respecting their socio-cultural distinctiveness. The IPDP aims at strengthening the existing capacity of the affected IP community to participate and benefit from Project interventions. The key elements in an IPDP include: (i) All development plans for indigenous people should be based on full consideration of the options and approaches that best meet the interests of individuals and communities affected by the Project. (ii) Scope and impact of adverse effects be assessed and appropriate mitigation measures are identified. (iii) Project should take into account the social and cultural context of affected peoples, and their skills and knowledge relating to local resource management. (iv) During Project preparation, formation, and strengthening of indigenous peoples organization; communication to facilitate their participation in Project identification, planning, execution and evaluation should be promoted. (v) Where previous experience and knowledge of working successfully with indigenous peoples is lacking, pilot scale operations should be carried out and evaluated prior to the execution of full-scale efforts. (vi) Experienced community organizations, non-government organizations (NGOs), and consultants will be hired to prepare IPDP. (vii) Responsible agency will formulate IPDP implementation schedule, which will be periodically monitored by ULB officials as well as independent/external monitoring agency. (viii) Responsible agency will also prepare a budget for IPDP implementation and a Financing Plan to ensure smooth progress.

17. The IPDP will consist of a number of activities and will include mitigation measures of potentially negative impacts, modification of program design, and development assistance. Where there is land acquisition in IP communities, the Program will ensure their rights will not be violated and that they will be compensated for the use of any part of their land in a manner that is culturally acceptable to the affected IPs.<sup>4</sup> The IPDP will include:

- (i) Baseline data,
- (ii) Land tenure information,
- (iii) Local participation,
- (iv) Technical identification of development or mitigation activities,
- (v) Institutional arrangement,
- (vi) Implementation schedule,
- (vii) Monitoring and evaluation, and
- (viii) Cost estimate and financing plan.

### **III. STEPS FOR FORMULATING AN IPDP**

18. The IPDP seeks to ensure that IPs are informed, consulted, and mobilized to participate in the sub-projects during IPDP preparation. Their participation can either provide them benefits with more certainty, or protect them from any potential adverse impacts of the sub-project. The main features of IPDP will be a preliminary screening process, a social impact assessment to determine the degree and nature of impact of each sub-project, and an action plan developed, if warranted. Consultations with and participation of IP communities, their leaders, and local government representatives will be an integral part of the overall IPDP.

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<sup>4</sup> Compensation will be consistent with the Resettlement Framework for the Program.

## **A. Preliminary Screening**

19. The Social, Resettlement and Rehabilitation Expert of the Design & Supervision Consultants (DSCs) will study all IP communities and villages within and in the vicinity of the proposed sub-project area. The PIUs/PMU will arrange public meetings at IP communities to provide information regarding the proposed sub-project. During these meetings, community leaders and other participants will be given an opportunity to present their views and concerns.

20. An initial screening will check for the following:

- (i) Name(s) of IP community group(s) in the area;
- (ii) Total number of IP community groups in the area;
- (iii) Percentage of IP community population in the area compared with the total population; and
- (iv) Number and percentage of IP households to be affected by the sub-project site.

21. An IP assessment checklist will be prepared. If the results of the preliminary screening (reviewed with assistance from the project consultants) show that there are IP households in the proposed sub-project area, a social impact assessment (SIA) will be conducted to capture IP issues and development opportunities that exist in the area. (A checklist format for screening of IPs in the sub projects is in Appendix 1 of this Attachment)

## **B. Social Impact Assessment**

22. The policy on indigenous people ensures that the process of initial social assessment includes specific consideration of indigenous peoples as a potentially affected population. If the initial social assessment identifies indigenous peoples specifically as a significantly and adversely affected population, or vulnerable to being so affected, it is required that an indigenous peoples plan acceptable to ADB is prepared by the project proponent. The SIA will gather relevant information on demographic data; social, cultural, and economic situation; and both positive and negative social, cultural and economic impacts.

23. Information will be gathered through separate group meetings within the IP community, including IP leaders; group of IP men and women, especially those who live in the zone of influence of the proposed sub-project. Discussions will focus on positive and negative impacts of the sub-project as well as recommendations on the design of the sub-project. The Social, Resettlement and Rehabilitation Expert of the DSCs will prepare the SIA and the PMU will be responsible for analyzing the SIA and for leading the development of an action plan with the support of IP community leaders. If the SIA indicates that the potential impact of the proposed sub-project will be significantly adverse—threatening the cultural practices and IP sources of livelihood, or that the IP community rejects the sub-project works—the PMU will consider other design options to minimize such adverse impacts. If IP communities support the sub-project an IPDP will be formulated.

## **C. Benefits Sharing and Mitigation Measures**

24. Where impacts on indigenous households are potentially positive, measures will be undertaken to ensure that benefits are equally shared. This will be through ensuring indigenous peoples as stakeholders take part during all stages of the Project. Where impacts are potentially negative, all affected indigenous households will be provided with assistance, which would help them to improve their living standards without exposing their communities to disintegration. As

vulnerable groups, they are entitled to receive special assistance not only to restore and improve their income and livelihood, but also to maintain their distinct cultural identity.

25. As indigenous peoples, they are likely to have traditional land rights; these will be honored and the absence of land titles will not be a bar for receiving compensation and alternate land. Their compensation entitlements will be the same that are listed in the approved Resettlement Framework (RF) of the Program. The RF defines IPs as vulnerable people/households.

26. If the sub-project impacts are not significant, and if they could be addressed by resettlement plans that will be prepared according to the agreed RF, 'specific actions' could be built into resettlement plans to safeguard their entitlements. This decision will depend on the severity of impacts on them. Such 'specific actions' are outlined in the RF.

#### **D. Monitoring**

27. Monitoring and Evaluation (M&E) help ameliorate problems faced by project implementing agencies and develop solutions without delay. IPDP includes a set of monitoring indicators, for periodic assessment of planned activities, which will be reviewed during IPDP implementation. The NGO appointed by the PMU will periodically report the assessment under these indicators and reports will be sent to the PMU. The PMU after initial check will send these reports to ADB for final evaluation.

### **IV. STRATEGY FOR INDIGENOUS PEOPLE PARTICIPATION**

28. Consultations and information disclosure will be undertaken to ensure that needs, priorities and preferences of IPs are adequately dealt with. The strategy of IPDP therefore would be to promote participation of the IPs, initiating and identifying people's need, priorities and preferences through participatory approaches. Consultations with and participation of IP communities, their leaders, ULBs/line agencies and PMU representatives hence will be an integral part of the overall IPDP.

29. The affected IPs will be informed and consulted in preparing IPDP. Their participation in planning will enable them to benefit from the project and to protect them from any potential adverse impacts of the project. The IPDP prepared in consultation with affected IPs will be translated into local language of IPs and made available to them before implementation with the assistance of NGOs (the NGOs appointed for conducting Community Development and Participation activities will implement the IPDP). The PMU will ensure that adequate funds will be made available for consultation and facilitation.

30. In the following paragraphs, a broad strategy for inclusion of IP s issues and information disclosure has been formulated.

#### **A. Activities for inclusion of IPs' Issues**

31. Involvement of IPs / indigenous groups in problem identification and design of solutions has to be ensured through the entire cycle of project interventions. **Table 2** presents the activities to be undertaken by the implementation agency to ensure inclusion of indigenous issues in the main project.

**Table 1: Activities and Indicators of IPs' Involvement Issues**

Project Stages	Procedures	Process and Outcome Indicators	Remarks
Planning Stage	Identify locations of dominant indigenous population in the sub-project sites.	IP screening checklist	To be carried out by PMU with assistance from DSCs.
	Identification of indigenous community stakeholders at site	List of all Indigenous communities in the project areas	
	Sensitization and consultation through focus group discussions with indigenous communities	Documentation on number of discussions and minutes of the meetings	
	Identification of environmental and social issues of the indigenous population and possible impacts as a result of the project	Documentation of the issues.	
Design Stage		Justifications for preparing IPDP	
	Consultations to establish existing concerns related to: 1. Land availability and Tenure 2. Access to urban infrastructure facilities 3. Representation in Community Based Developments 4. Existing Government schemes 5. Dependency on Minor Forest Produce (MFP) and common property resources	List of spatial and non-spatial issues	
	Discussions on possible intervention measures, through the project their likely impacts and safeguard measures (mitigation and monitoring) to be incorporated into the project activities. 1. Loss of agricultural and homestead land 2. Loss of structure and immovable assets 3. Loss of livelihood 4. Loss of common property resources	List of safeguard measures	
	Consultations with indigenous groups for further suggestions	Enlistment of project impacts	
Implementation Stage	Participatory approach to be taken up to involve IPs in finalizing projects, Resettlement Action Plan/ IPDP etc.	List of safeguards measures into the Draft Plan	
	Disbursement of entitlements as per the RP / IPDP / Framework.	Measures to be taken in complying with the frameworks prepared for resettlement and IPDP.	
	Implementation of safeguards measures as per IPDP / Framework proposals	Measures undertaken as suggested in RP/IPDP / Framework	NGO engaged for implementing RAP / IPDP will do that during project implementation
Post Implementation Stage	Evaluation of the success of programs and safeguard measures undertaken	Measures undertaken as suggested in RP/IPDP / Framework	
	Follow up activities based on lessons learnt	Indicators developed for evaluation of project impacts	Consultants engaged for impact evaluation study will do that after project completion
		Listing of modified programs to be implemented for uplifting affected indigenous communities	

IP = indigenous people, IPDP = Indigenous People Development Plans, RP = resettlement plan, PMU = Program Management Unit.

32. Electronic version of the IPDP will be placed in the official website of the PMU / State Government and the official website of ADB after approval of the IPDP by Government and ADB. Hard copies of the IPDP will be accessible to citizens and kept in the town library, PMU



and office of the municipal/line agencies. The information of the IPDP including entitlements for IPs and implementation arrangements will be presented in the form of a brochure that will be circulated among the indigenous APs. Posters designed to mass campaign the basic tenets of the IPDP will be displayed at suitable locations for generating mass awareness.

## **V. BENEFITS AND MITIGATION OF ADVERSE IMPACTS**

33. The main thrust of IPDP is to address the development issues taking into consideration the marginality status of IP community. The IPDP will offer development options addressing community based needs of indigenous people while respecting their socio-cultural distinctiveness. The IPDP aims at strengthening the existing capacity of the affected IP community to participate and benefit from project interventions. Based on the impacts and their significance, affected IPs will be entitled to various compensation packages. These compensation entitlements will be the same that are listed in the approved Resettlement Framework of the program. As indigenous peoples, they will have traditional land rights and these will be honored and the absence of land titles will not be a bar for receiving compensation.

34. Additionally, as vulnerable group, they are entitled to receive special assistance, not only to restore and improve their income and livelihood but also to maintain their distinct cultural identity.

35. If the impacts of the sub-projects are not significant, the PMU could decide to prepare a 'specific action' to address the IP issues without preparing IPDP. This decision will depend on the severity of impacts on them. A 'specific action' could take the form of a common community action plan where the indigenous peoples groups live with non-indigenous peoples in the same subproject location. Another 'specific action' is to incorporate IP issues and their benefits into the Resettlement Plan, if any.

## **VI. INSTITUTIONAL ARRANGEMENTS**

### **A. Institutional Arrangements for preparing and implementing IPDPs**

36. The Urban Development Department (UDD) of Government of Rajasthan is the Executing Agency (EA) of the Program. The Empowered Committee (EC) is the apex body for the Project which is responsible for taking all important decisions with respect to Project implementation and accord all sanctions under the Project. To ensure timely Project implementation and for efficient & effective decision-making, the powers of the State Government are delegated to the Empowered Committee. The PMU with support of PIUs will be responsible for overall program implementation, progress review, contracting, supervising of work and providing progress-monitoring information coordination and will be responsible for the preparation of all documentation needed for decisions required for the Program. The DSCs will have a Social, Resettlement and Rehabilitation Expert in their team who along with the implementing NGO will prepare, implement, and monitor the IPDP. Approved IPDPs will be provided to ADB for review and approval prior to implementation.

37. The PMU shall be responsible for implementing the IPDP. The PMU with support from PIUs and the DSCs will be taking care of redressing grievances and mitigating negative social impacts caused due to the project on APs including those belonging to indigenous communities. The implementing NGO should have staff fully aware of provisions of IPDP, adequate understanding on norms and customs of and respect to the indigenous people.

38. A Resettlement Officer (RO) will be designated within the PMU and entrusted with responsibilities to effectively implement the RP / Gender Action Plan / IPDP / Community Development Plan complying with the safeguard provisions in the project. The roles and responsibilities of the RO would include but not limit to the following:

- (i) Coordinate implementation of R&R activities.
- (ii) Organize public awareness campaigns on project including resettlement provisions with the help of print and electronic media.
- (iii) Facilitate and coordinate joint verification survey of APs with the elected representatives as appropriate, finalize list of APs and inform them about tentative schedule of land acquisition / occupation.
- (iv) Coordinate valuation of assets, such as land, trees of various species, agricultural crops, etc. facilitating a joint process involving the elected representatives, NGOs and APs.
- (v) Based on assessment of property values finalize compensation packages.
- (vi) Prepare procedures to be adopted for the land acquisition within the ambit of LA Act, 1894.
- (vii) Coordinate the land acquisition processes with the associated Government departments.
- (viii) Inform APs about entitlement matrix and compensation packages against different categories of losses.
- (ix) Liaison with the District Administration and line departments (DRDA, DoRD, etc.) for dovetailing Government's schemes for income generation and development programs for the APs.
- (x) Make budgetary provisions for R&R activities.
- (xi) Coordinate, supervise and monitor disbursement of compensation.
- (xii) Coordinate monitoring activities to be taken up for assessing progress in implementing RP.
- (xiii) Facilitate the appointment of the external agency for Impact Evaluation and coordinate evaluation activities to be taken up by the agency.
- (xiv) Prepare Terms of Reference (ToR) for procuring the external agency.
- (xv) Facilitate appointment of the consultant to carry out the studies and coordinate them.
- (xvi) Prepare quarterly monitoring reports on the progress of RP implementation.
- (xvii) Participate in the GRC.

39. The major IPDP implementation responsibilities vests with RP implementing NGO. The responsibilities of these NGOs in IPDP implementation will include the following:

- (i) Work under close coordination with the RO to implement the IPDP.
- (ii) Facilitate transparency in process and public participation.
- (iii) Take lead in joint verification and identification of IPs, enlist IPs, counselling for livelihood restoration, dissemination of project policies, documents etc.
- (iv) Identify training needs of IPs for income generation activities and ensure that they are adequately supported.
- (v) Put forth the grievances of the IPs to the GRC.
- (vi) Generate awareness about the livelihood restoration activities, and help the IPs to make informed choices.
- (vii) Assist the RO in disbursement of cheques.
- (viii) Participate in public meetings as and when required.
- (ix) Submission of periodical IPDP implementation reports to the RO.

40. The external impact evaluation agency appointed for RP implementation will also carry out monitoring and evaluation of the effectiveness of IPDP implementation through formulation of indicators. The program will have a Grievance Redressing Committee (GRC) for redressing the grievances of the APs, with emphasis on IP communities in the project. **Table 2** gives the institutional roles and responsibilities for preparation and implementation of IPDP.

**Table 2: Institutional Roles and Responsibilities**

<b>S. No.</b>	<b>Activities</b>	<b>Municipal/Line Agency</b>	<b>PMU</b>	<b>Project consultants</b>	<b>NGOs</b>	<b>ADB</b>	<b>IP Community Involvement</b>
1	Finalization of sites/alignments for sub-project components	Identify and finalize sites/alignments for sub-project components	PMU will appoint project consultants (PC) for design and implementation of sub-project components	PC appointed by PMU will provide technical help to ULB in finalizing sites/alignments			
2	Preliminary Screening (PS)						
A	Collecting and analyzing required information		PMU will appoint a full time RO to oversee IPDP activities	The PCs will undertake PS			Co-operation and active participation of IPs is anticipated in IPDP activities
B	Preparation of PS report			Designated staff will prepare PS report, which will be sent to PMU			
C	SIA recommendation		Based on PS report, and in compliance with ADB policy, PMU will recommend SIA				
3	Social Impact Assessment						
A	Collecting and analyzing required information		Designated staff (RO) of PMU will monitor SIA activities	PC appointed by PMU will conduct SIA			IPs will be responsible for giving information to and participate with concerned officials
B	Preparation of SIA report			PC will prepare report and submit it to the PMU			
C	Recommendation for IPDP preparation		Based on SIA report, and in compliance with the ADB policy, PMU will recommend IPDP preparation				
4	Preparation of IPDP						
a	Formulation of mitigation measures		Designated staff will monitor IPDP	PC will prepare IPDP in consultation with			Affected IPs, IP leaders, CBOs will

S. No.	Activities	Municipal/Line Agency	PMU	Project consultants	NGOs	ADB	IP Community Involvement
	and development of action plan		preparation activities and will provide required help to PC	affected IPs/community leaders			participate in formulation of mitigation measures and development of action plan
B	Disclosure of IPDP	Designated staff will participate in information disclosure meetings to finalize IPDP at community level	PMU staff will participate in information disclosure meetings to finalize IPDP at community level	PC will conduct meetings for information disclosure and will provide required information during meetings	Local NGOs can be invited to bring transparency in information disclosure meetings		Affected IPs, IP leaders will participate and approve IPDP
C	Preparation of budget and financing plan		Designated staff will provide required necessary help to PC	PC will prepare IPDP budget and financing plan			
E	IPDP approval from ADB		PMU after scrutinizing IPDP for compliance with ADB policy will submit it to ADB	As per ADBs comments, PC will revise IPDP and budget		Concerned staff at ADB will review and approve the IPDP document	
5	IPDP implementation		PMU appoint NGO for IPDP implementation and monitor IPDP implementation periodically along with an independent agency				

ADB = Asian Development Bank, IP = indigenous people, IPDP = Indigenous People Development Plans, SIA = social impact assessment, PMU = Project Management Unit.

## **VII. BUDGET FOR FORMULATING AND IMPLEMENTING IPDPs**

41. Each IPDP will have its own budget. The EA will provide sufficient resources to formulate an IPDP for each sub-project that will have impacts on IPs. A detailed budget will be prepared by the social, resettlement and rehabilitation unit taking into account all activities associated with the formulation and implementation of the IPDP. Such budgets will be an integral part of the program cost, and will be made available during program implementation.

## **VIII. PROGRAM FOR MONITORING AND EVALUATION**

42. Implementation of the IPDP will be monitored regularly. The PMU will establish a quarterly monitoring system involving the RO, the DSCs, representative of affected IP groups, NGOs and CBOs to ensure that participatory monitoring arrangements are followed. A set of monitoring indicators will be determined during IPDP implementation. The PMU will prepare appropriate monitoring formats for effective internal and external monitoring and reporting requirements. Independent monitoring will be undertaken through NGOs and CBOs engaged by the PMU in consultation with ADB to carry out external monitoring of the IPDP operations for the whole Program. Monitoring reports will be prepared twice a year during program implementation. These reports will be submitted to the PMU and ADB for review. The PMU will be responsible for determining if any follow-up actions are necessary and ensuring any necessary actions are taken regarding the implementation of IPDPs.

43. The PMU will implement the IPDP and carry out the monitoring and evaluation activities as prescribed in this section. The RO will be trained and motivated in carrying out these activities. The mid-term and end-term impact evaluation will be conducted by outsourcing it to an Agency/NGO/Institution, which will do the work in close coordination with the PMU.

44. IPDP implementation will be closely monitored to provide the PMU with an effective basis for assessing resettlement progress and identifying potential difficulties and problem areas. Monitoring will be carried out by the RO and reported regularly to the Project Director (PD) on a quarterly basis. The internal monitoring will involve the following tasks:

- (i) Administrative monitoring to ensure that implementation is on schedule and problems are dealt with on a timely basis.
- (ii) Socio-economic monitoring during and after the relocation process utilizing the baseline information established by the socio-economic survey of APs undertaken during project preparation to ensure that people are settled and recovering.
- (iii) Overall monitoring whether recovery has indeed taken place successfully and in time.

45. Data from the baseline socio-economic surveys undertaken during the project preparation stage will provide the benchmark for the monitoring process to assess the progress and success of the IPDP programme. However, monitoring process will also include the following:

- (i) Communication to and noting of reactions from APs.
- (ii) Information from APs on entitlements, options, alternative developments and relocation timetables.
- (iii) Valuation of properties.
- (iv) Usage of grievance redress mechanism.

- (v) Disbursement of compensation amounts and all assistances.

46. Monitoring will also cover the physical progress of implementation of IPDP. This will include land acquisition of the Affected Households (AHs) and project affected community properties. Quarterly reports will be prepared on the progress of the IPDP provisions.

47. **Internal Monitoring Indicators.** The PMU with the designated RO will carry out internal monitoring. The indicators for achievement of objectives under the IPDP programme are of two kinds as stated below:

- (i) Process Indicators – Indicating project inputs, expenditure, staff deployment, etc.
- (ii) Output Indicators – Indicating results in terms of numbers of affected indigenous people compensated and resettled, training imparted, credit disbursed, etc.

48. **Reporting:** Reporting and monitoring formats will be prepared for an effective internal and external monitoring. These reports will be submitted to ADB for review and comments. Each IPDP will be submitted by EA to ADB for review and approval.

## APPENDIX 1

### IP IMPACT SCREENING CHECKLIST FOR SUB PROJECTS

Impact on the indigenous peoples (IPs)/Ethnic Minority (EM)	Yes	No	Remarks or identified problems, if any
Are there any IPs or EM groups present in the project locations?			
Do they maintain distinctive customs or economic activities that may make them vulnerable to hardships?			
Will the project restrict their economic and social activity and make them particularly vulnerable in the context of the project?			
Will the project change their socio economic and cultural integrity?			
Will the project disrupt their community life?			
Will the project positively affect their health, education, livelihood or social security status?			
Will the project alter or undermine the recognition of their knowledge, preclude customary behaviours or undermine customary institutions?			
In case no disruption of indigenous community life as a whole, will there be loss of housing, strip of land, crops, trees and other fixed assets owned or controlled by individual indigenous households?			

The above checklist would be prepared for each sub-project in all the Project Towns.