

Semi-annual Safeguards Monitoring Report (DRAFT)

Monitoring Period Covered: January – June 2017

Grant 9177-MYA: Pro-Poor Community Infrastructure and Urban Services Improvement

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ABBREVIATIONS

ADB	Asian Development Bank
C&P	Consultation and Participation
CDC	Community Development Committee
CDD	Community Driven Development
EA	Executing Agency
ECC	Environmental Compliance Certificate
ECD	Environmental Conservation Department
EMP	Environmental Management Plan
GIC	Grant Implementation Consultants
GIM	Grant Implementation Manual
GRM	Grievance Redress Mechanism
IA	Implementing Agency
IEE	Initial Environmental Examination
IP	Indigenous Peoples
IR	Involuntary Resettlement
MCDC	Mandalay City Development Committee
MOC	Ministry of Construction
MONREC	Ministry of Natural Resources and Environmental Conservation
PIB	Project Information Booklet
PIU	Project Information Unit
PWD	Person with Disability
SERD	ADB Southeast Asia Regional Department
SPS	ADB Safeguards Policy Statement (2009)
TL	Team leader
YCDC	Yangon City Development Committee

DEFINITION OF TERMS

Environmental Assessment	The assessment process that is based on current information, including the accurate project description, and appropriate environmental and social baseline data. It considers all potential impacts and risks of the project, on physical, biological, socioeconomic (occupational Health and safety, community health and safety, , vulnerable groups and gender issues, impacts on livelihood through environmental media, and physical cultural resources in an that pertain to environmental matters, in an integrated way. The project's potential environmental impacts and risks will be reviewed against the requirements presented in the document and applicable laws and regulations of the jurisdiction in which the project operates, including host country obligations under international law.
Land acquisition	Refers to the process whereby an individual, household, firm or private institution is compelled by a public agency to alienate all or part of the land it owns or possesses to the ownership and possession of that agency for public purposes.
Right-of-Way	The right of way (ROW) is a publicly available and government-owned strip of land following a centerline (such as for roads, canals, etc.) providing an area of access.
Vulnerable groups	These are specific people who are disadvantage and might face the risk of being further marginalized by the effects of new structures. These specifically include: (i) households headed by women with dependents, (ii) PWD (disabled household heads), (iii) households falling under the generally accepted indicator for poverty, (iv) children and the elderly households who are landless and with no other means of support; (v) landless households; (vi) indigenous peoples or ethnic minorities.
Displaced Persons	In the context of involuntary resettlement, displaced people (DP) are those who are physically displaced (relocation, loss of residential land, or loss of shelter) and/or economically displaced (loss of land, assets, access to assets, income sources, or means of livelihood) as a result of (i) involuntary expropriation of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.
Involuntary Resettlement	It is the displacement of people from their homes, assets, sources of income and employment on account of the project undertaken by the Government of Myanmar. Involuntary resettlement may result in any or a combination of the following: loss of land, abode and other fixed assets, loss of income and/or employment, relocation, separation of family members, disintegration of communities, etc. Unless appropriate and adequate mitigation measures are carried out, involuntary resettlement will result to further hardship and impoverishment among the AHs, especially the marginal sectors of society (see definition of "vulnerable groups"). These adverse social impacts of development projects are often borne by AHs not of their own desire but involuntarily.

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EXECUTIVE SUMMARY

1. The Government of Myanmar is currently implementing Grant 9177MYA: Pro-Poor Community Infrastructure and Basic Services (the Project) which aims to reduce poverty and vulnerability in selected under-served areas of Yangon and Mandalay City. The identified infrastructure Projects intend to improve the environment and hence the living conditions of the communities in the target areas.

2. The Grant Implementation Manual specifies three major components with monitorable outputs namely:

Output 1: Multi-agency training structure to support planning, delivery, maintenance and tertiary level infrastructure piloted and documented.

Output 2: Improved Community infrastructure and basic services demonstrated in four Townships in Mandalay and Yangon

Output 3: Effective project management, monitoring and audit delivered.

3. This document represents the 3rd Semi-Annual Monitoring Report. It provides an overview of the environmental and social safeguards compliance, taken from previous progress reports and carried over in this document. It provides updates on previously-identified issues, current accomplishments and further actions to be undertaken consistent with the Grant Implementation Manual.

4. **Summary of monitoring activities carried out.** The preparation of project's IEEs/EMPs has been done in compliance to ADB's requirement for the subprojects to be implemented which include roads, waste management, water facility and Latrines). The sub-projects are still in the design preparation stage. Several consultation meetings on environmental and social aspects were undertaken with CDCs in Mandalay and Yangon grant areas. These activities addressed specific concerns and corrective measures undertaken such as (i) participation and involvement of other sectoral groups (IPs, youth, elders and vulnerable women) as members in CDC (ii) proper documentation on consultative meetings, (iii) collection of gender data (iv) disclosure/validation of screening checklists, and, (v) validation of the CAP. Changes in sub-projects were properly disclosed to the communities with regards to significant safeguards issues such as encroachment on right of way and problems on title and ownership of land.

5. A Grievance Redress Committee was also formed to address some complaints during construction and to resolve issues emanating from the environmental and technical aspects of the sub-project. GRM focal persons¹ have been designated in Mandalay and in Yangon and procedures for GRM has been established which needs to be disclosed prior to project implementation.

6. Social safeguards activities have been incorporated in the Feasibility studies done for the selected infrastructures which include roads and waste management in Mandalay, water

¹ Uwin Naing, Assistant Engineer for Chanmyatharzi Township- Focal person in Mandalay
Daw Nyein Aye- Focal person in Yangon, Head of division, Urban Planning Department.

treatment, communal toilets, pathway and waste management in Dala, roads and solid waste management in Hlaing Tharyar. All sub-projects are Category C for involuntary resettlement and Indigenous Peoples.

7. Land to be utilized for the sub-projects belong to government land and certification for use of land has been secured attached as Appendices to this report.

I. INTRODUCTION AND PROJECT OVERVIEW

Project Number and Title:	47187-001 Myanmar: Pro-Poor Community Infrastructure and Basic Services	
Safeguards Category	Environment	B
	Indigenous Peoples	C
	Involuntary Resettlement	C
Reporting period:	January 1-June 2017	
Last report date:	December 2016	
Key sub-project activities since last report:	<p>The following key activities were carried out during the monitoring period:</p> <p>Environment:</p> <p>Social Safeguards:</p> <ul style="list-style-type: none"> • Review on the procedures in the finalization of the sub-project in key priority areas • Updating of Community Action Plan • Updating of CDC members • IR categorization on the final list of sub-projects • Status of land, ownership and certification • Compliance with social safeguards and environmental requirements • Grievance Redress Mechanism 	
Report prepared by:	<p>Environment (Rene Weterings) - Environment</p> <p>Beulah E. Pallana, Grant Implementation Consultant –Social Development/Gender Specialist).</p>	

II. ENVIRONMENTAL PERFORMANCE MONITORING

EMAP Requirements	Compliance Status (Yes, No, Partial)	Comment or Reasons for Non-Compliance	Issues for Further Action
Not yet applicable (preparation of IEEs/EMPs is waiting for the project's	Not yet applicable (preparation of IEEs/EMPs is waiting for the project's finalization of the list of		

EMAP Requirements	Compliance Status (Yes, No, Partial)	Comment or Reasons for Non-Compliance	Issues for Further Action
finalization of the list of subprojects to be implemented in the grant areas	subprojects to be implemented in the grant areas		

a. Issues for Further Action

Issue	Required Action	Responsibility and Timing	Resolution
Old Issues from Previous Reports			
Not yet applicable (preparation of IEEs/EMPs is waiting for the project's finalization of the list of subprojects to be implemented in the grant areas)			
New Issues from This Report			
Not yet applicable (preparation of IEEs/EMPs is waiting for the project's finalization of the list of subprojects to be implemented in the grant areas)			

b. Other Activities

1. Not yet applicable (preparation of IEEs/EMPs is waiting for the project's finalization of the list of subprojects to be implemented in the grant areas)

III. REVIEW ON THE PARTICIPATORY PROCESS IN THE FINAL SELECTION OF SUB-PROJECTS

2. The overall approach adopted is demand-driven which means that the community was involved in the identification and prioritization of sub-projects. The participatory process leading to the selection on the finalization of sub-projects is described briefly as follows.

- **Step 1: Core group formation:** Ward leaders were tapped to organize Community Development Committees (CDC) comprising of various representatives from various

blocks of the target areas. CDC memberships were recruited on voluntary basis, represented by sectors such as women, IPs, vulnerable groups, youths and elderly.

- **Step 2: Identification of community felt needs.** Members of the CDC verbalized their felt needs for a particular project responsive to their immediate and long term needs.
 - **Step 3: Prioritization of needs.** CDCs proceeded to rank their needs according to top priorities. This was done through FGD meetings and workshop.
 - **Step 4. Preparation of a Community Action Plan.** After the need has been identified, prioritized and external help from the project has been assured, a community Action Plan (CAP) was prepared, reflecting the ranking of the top priority projects.
 - **Step 5. Screening of the sub-project.** Social Safeguards screening activities for all sub-projects were carried out in line with recommendations from the Social Safeguards Due Diligence Report (September 2016) and involved discussions with representatives of the Yangon City Development Committee (YCDC), community development committee members and other households. A tool for social safeguards screening checklists was used by the Consultants to ensure the prioritized sub project does not trigger involuntary resettlement and indigenous peoples.
 - **Step 6. Validation and approval of the sub-projects.** Social Safeguards screening findings were disclosed to community members during community consultations to make them aware of safeguards issues and measures. The validation exercise was done by the National Development and Gender Specialists, and revalidated by the GIC technical Consultants during the Feasibility study of the sub-project. Approval for the final sub-project was obtained also from the MOC, MCDC, YCDC, and ADB.
 - **Step 7. Participatory management in the implementation of sub-project.** This phase has yet to be implemented following the capacity building component of the project, to ensure sustained development initiatives between the community and the government.
3. The details on the final list of the approved subprojects is attached as Appendix 1.

IV. INVOLUNTARY RESETTLEMENT and INDIGENOUS PEOPLES PERFORMANCE MONITORING

4. The 3rd SMR affirms that the final list of sub-projects for funding are Category C for Involuntary Resettlement, which means all sub-projects do not trigger involuntary resettlement impacts². It is also Category C for Indigenous Peoples, which means, it is not expected to have impacts on Indigenous Peoples³. Any civil works or infrastructure upgrading that may cause any involuntary resettlement or land acquisition or indigenous people impacts will not be eligible to be

² ADB Operations Manual Section F1/OP – Safeguard Review Procedures (issued on 1 October 2016).

³ Ibid.

financed under the grant. The grant fund cannot be used for purchasing of land for project implementation.

5. Validation on Safeguards Checklists was carried out accordingly by the NSDGS and revalidated by the Technical Team during the Feasibility Study conducted in March - June 2017. Corrective measures have been undertaken to ensure inclusion of IPs, vulnerable groups, youth and elderly as members of CDCs. The validation exercises formed the basis in the finalization of the subprojects and updating of the CDC members.

V. STATUS OF THE 2nd SMRAND UPDATES FOR THE CURRENT PERIOD

6. This Section consolidates the findings from the 2nd Semi Annual Monitoring Report done in July –December 2016, and provides updates on current accomplishments, responses to recommendations and action taken for the period, representing the 3rd Semi-Annual Report. The information base is taken from the Quarterly Reports: January –March 2017 and April-June 2017.

Table 1: Status of Project Activities and Performance

Status and Issues Raised - 2nd Semi-Annual Monitoring (July –December 2016)	Accomplishments and Action Taken – 3rd Semi-Annual Monitoring Period (January-July 2017)
<p>CDD Planning Process followed: Draft community action plans (CAPs) need validation based on broader public consultation and sectoral focus group discussions (FGDs), especially with vulnerable households</p>	<p>The Draft Community Action Plan has been validated on field by the National Development/Gender through FGDs with various stakeholders in Dala June 27, 2017 and Hlaing Tharya on June 2, 2017. These included IPs and vulnerable groups. This was further revalidated by the IC technical Team during the detailed Feasibility Study of each sub-project, using the safeguards checklists. The results of the validation exercise formed the basis for the final selection of the sub-projects and updating of the members of CDC which included representatives from IPs and other sectoral groups.</p>
<p>Consultation methods, approach, materials and documentation. Some areas for improvement were noted, including: (i) a few C&P activities that were not systematically documented as C&P activities, such as some interviews/discussions with religious leaders such as monks; (ii) after the CDD orientation, participation in CDD activities was generally limited to CDC members and ward officials; (iii) a system has yet to be established to</p>	<p>Corrective measures were undertaken by the NSDGS to ensure inclusion of representations of IPs⁴, vulnerable groups, elderly and youths in CDCs in Mandalay (Pyigyidagon and Chanmyatharzi) and in Yangon (Dala and Haling Tharya. The Monk in Dala played an active part, allowing the proposed communal toilets to be built on land owned by the Monastery.⁵ In Mandalay, the inclusion of IPs in the CDC (if any) and proper documentation has yet to be done, due to pending of the NSDGS to get extension.</p>

⁴ Appendix 2.1.2.5 Documentation of FGDs with IPs on CAP Validation and Updating

⁵ Appendix 4.2 Certification from the Monastery to use the land for communal toilets

Status and Issues Raised - 2nd Semi-Annual Monitoring (July –December 2016)	Accomplishments and Action Taken – 3rd Semi-Annual Monitoring Period (January-July 2017)
<p>regularly update other community members on project activities; (iv) during consultation activities, it should be emphasized that the project is open to questions/feedback; and (v) social safeguards coverage has been insufficient receiving inquiries from community members, and community members should receive clear advice on who they should approach with any</p>	<p>Updating and inclusion of the IPs will be done before project implementation and this will be reflected in the 4th monitoring report.</p> <p>Developing structures and systems has yet to be established and supported by orientation of the CDCs, MDCD and YCDC on the feedback mechanism allowing clear flow of communication between the IA, PMU, PIU, GIC and CDC. This is one area of focus to be established during the capacity building program planned for the last quarter of 2017.</p> <p>A Grievance Redress Mechanism has been framed and a Grievance Redress Committee has been established in Mandalay, and Yangon. Designated person⁶ have been identified to address issues and concerns emanating from the sub project implementation.</p>
<p>Social safeguards screening activities carried out</p> <p>In general, Myanmar government staff and communities are not yet familiar with social safeguards procedures and requirements of ADB, and so these have to be very carefully introduced to all project stakeholders. The original GIC team would have benefited from additional support for social safeguards; thus, while efforts were made to incorporate social safeguards in CDD presentation materials and discussions⁷, these were not adequate for stakeholders to have a good understanding of social safeguards concepts, terminology and processes.</p> <p>During the fielding to Myanmar, draft social safeguards checklists had already been prepared for the top 3 subprojects in grant areas in Mandalay⁸, and for the five (5) potential subprojects⁹ in Aunt Gyi West Ward in Dala Township, Yangon). All these checklists have to be considered as drafts for validation.</p>	<p>It should be noted that CP as an approach is a new concept in Myanmar. Although CP is viewed by both the government and the community as a desirable approach, however, it is also viewed as time consuming for some members of the CDCs. In essence, the urgency on the realization of the infrastructure has been the prime motivation for their participation and involvement. For government bureaucracies, the familiar path is straight service delivery, with community residents as clients or beneficiaries. For community residents, the pattern has been one of dependency on the government. As such, a practical application of the CP process and safeguards requirement should be a continuous education in order to appreciate, raise awareness, and adopt the process.</p> <p>The capacity building component of the project has been designed to increase capacity in project management as well as increase level of awareness</p>

⁶ Uwin Naing, Assistant Engineer for Chanmyatharzi Township; Daw Nyein Aye- Focal person in Yangon, Head of Division, Urban Planning Department.

⁷ The focus was usually on the need for secure land tenure (e.g. community facilities can only be constructed within land owned by the township and the ownership will have to be certified by the Land Administration Department prior to finalizing the location). Coverage of scope and triggers of the IR and IP safeguards was incomplete.

⁸ Preparation of screening checklists was led by ward executive officer. SDGS U Aung Weyn validated the checklists.

⁹ Water treatment, household latrines, solid waste management, communal toilet, footpath

Status and Issues Raised - 2nd Semi-Annual Monitoring (July –December 2016)	Accomplishments and Action Taken – 3rd Semi-Annual Monitoring Period (January-July 2017)
	<p>on safeguards issues. This activity is planned for implementation within the 4th quarter of 2017.</p> <p>A validation on the checklists has been done on field in target areas in Mandalay¹⁰, and for the five (5) potential subprojects¹¹ in Aunt Gyi West Ward in Dala Township, Yangon), which was cleared by the IC Technical Team, prior to conducting the Feasibility Study and preparing the design. This activity ascertains the finalization of sub-projects for the key priority areas.</p>
<p>Grievance Redress Mechanism (GRM).</p> <p>The need to establish the project GRM prior to start of construction activities was raised during the fielding of the GIC Environment Safeguard Specialist¹². Given that safeguards screening and subproject identification activities are ongoing, it was recommended to establish the project GRM as soon as possible. A proposed GRM (incorporating the process described in the GIM and given information obtained during the fielding) was developed and agreed, and has been incorporated in project information sheets.</p>	<p>A grievance redress mechanism has been established to deal with complaints related to project implementation. MCDC affirmed the formation of the Grievance Redress Committee which consists of representatives from the CDC (1), woman (1), IP (1) Ward Administration Office (1), Contractor (1), MCDC-PIU Staff (1). The procedures for the GRM is explained in Section VII and illustrated in Figure 1.</p>
<p>Ensuring Category C for IR Safeguard</p> <p>The land tenure/titling/certification process was found to be more complex than originally anticipated and poses risks/complications for household latrines or other subprojects that require the use of land that is not owned by the township or within existing right of way</p>	<p>Only sub-projects that have been categorized as “C: under ADB IR and IP categorization were selected to qualify for funding. Sub-projects that were identified with significant safeguard issues such as land tenure and encroachments were not included even though this was identified as the first priority need. This is in the case of Dala where significant households are encroached on the Right of Way (RoW) of the proposed drainage. The issue on land tenure inhibits the putting up of individual household latrines, contradicting the DMF specified target of 2,000</p>

¹⁰ Preparation of screening checklists was led by ward executive officer. SDGS U Aung Weyn validated the checklists.
¹¹ Water treatment, household latrines, solid waste management, communal toilet, footpath
¹² As reflected in the activity report from Mandalay, the following was suggested: Before construction, it is proposed to create a Grievance Redress Committee which will consist of representatives from the CDCs (3 members), Ward Administration Office (1), Contractor (1), and MCDC-PIU Staff (1). The membership of the Committee will be confirmed by MCDC. The objective of the Grievance Redress Committee will be to solve the problems occurring during construction.

Status and Issues Raised - 2nd Semi-Annual Monitoring (July –December 2016)	Accomplishments and Action Taken – 3rd Semi-Annual Monitoring Period (January-July 2017)
	<p>latrines. Instead, communal public toilets were proposed as an option. The Monitoring activity done (Sept. 20, 2017) for this period noted that some community households do not support the communal toilet due to distance of the site, and they do not want to pay for the facility¹³.</p>
<p>Voluntary donation.</p> <p>It is recommended for the guidelines in the GIM to be supplemented with the guidelines/criteria for voluntary donation that were developed/agreed by ADB’s SERD Social Safeguards Network. For all cases of voluntary donation, an overview describing how the specific case has met the criteria has to be prepared (template included in the DDR) and attached to the accomplished voluntary donation form (template included in the DDR). Vulnerable AHs are not eligible to donate assets for the project. In this regard, additional guidance is required to help the EA, IAs and participating communities identify vulnerable households per ADB definition. It was proposed to use the definitions developed by the SERD social safeguards network for Myanmar.</p>	<p>The Guidelines for voluntary donations is attached as Appendix3. The sub-projects are all on government land. The Certifications from the government and from the Monastery as legitimate owners¹⁴ of land for use of the sub-project have been obtained.</p>
<p>Encroachment of structures into existing ROW.</p> <p>Encroachment of structures into the drainage line in Mandalay was flagged as an issue during the environmental safeguards consultations led by GIC Environmental Safeguard Specialist Ruel Janolino. Because of this, GIC commenced an activity to map encroachment of structures in the drainage line.</p> <p>One other issue identified flagged by the GIC and confirmed during site visits was that many households in Mandalay have already concreted sections of the existing drainage system in front of their homes. ADB Safeguard Specialist was consulted on this issue and the following was decided: these cases do not trigger the IR</p>	<p>The preliminary inventory of encroached structures was prepared by Mandalay IC team’s assistant engineer and validated by the first national social development and gender specialist¹⁵. An updated inventory was prepared by the senior engineer in December 2016, which indicates that the encroachment problem is much more severe than shown by the preliminary inventory. Towards the end of the monitoring period, this inventory was validated based on the screening guidelines. None of the blocks in Myayinandar Ward will pass the screening activity, because of encroached primary structures, etc. As such, the proposed drainage was no longer included.</p> <p>A validation on the encroachment of structures on the Right of Way (ROW) for the drainage in Dala will trigger significant removal of structures belonging to IP</p>

¹³ See FGD Report, Feb 18, 2017
¹⁴ Appendix 4.1 and 4.2 respectively.
¹⁵ He was demobilized on 4 November 2016.

Status and Issues Raised - 2nd Semi-Annual Monitoring (July –December 2016)	Accomplishments and Action Taken – 3rd Semi-Annual Monitoring Period (January-July 2017)
<p>safeguard because the land is not being acquired and there is no physical or economic displacement. It is public land and the improvements that households have made (concreting the drain in front of their homes) will be replaced by even better improvements (higher capacity, etc). Thus, if CDD activities confirm that community drainage improvement is a priority, then areas with some existing concrete sections can be covered by the project as long as meaningful consultation with concerned households is carried out, this situation is discussed during the consultations (and it is clear that it is public land and upgrades will occur), and the discussions related to this are documented and included in the Community Action Plans.</p>	<p>households. As such, the drainage was not also included in the finalization of sub-projects.</p> <p>Screening activities of the monitoring period indicate that IP safeguards will be more of a concern in Yangon, where several ethnic groups have been confirmed to be present¹⁶. Focus group discussions and household interviews with ethnic minorities were held on 3 December 2016 and 18 December 2016 for Aunt Gym West block 1, 2, and 3; Ward 11/14 Block 3 and Ward 6 Block 2 (potential recipients of water treatment facility). During the FGDs, they were asked to provide suggestions on sub-projects to be supported by the Project, as well as feedback on the proposed water treatment facility sub-project and the draft community action plan.</p>
<p>Ensuring Category C for IP Safeguard.</p> <p>Based on discussions during site visits and meetings, the presence of ethnic minority households can be expected in most, if not all wards covered by the project. Data from the household survey is required to verify the actual number of ethnic minority households.</p> <p>The number of ethnic minorities is other Wards and Blocks in Yangon and in Mandalay is for verification.</p>	<p>The screening activities and the Feasibility Study conducted in March 2017 ascertained that IPs are present in all Wards proposed for the sub-projects.¹⁷</p> <p>Overall, all sub-projects are Category C both for involuntary resettlement and for Indigenous Peoples. The GIM specifies that a sub project that triggers impact on IPs and involuntary resettlement does not qualify for grant funding.</p>

7. The following recommendations of the 2nd SMR are presented below based on findings from the social safeguards due diligence, and were elaborated on in the stand-alone social safeguards DDR.

¹⁶ In Dala Township, Aunt Gyi West Block 1: there are three (3) Kayin households; two (2) Rakhine households; one (1) Chin household; and one (1) Kachin household.

¹⁷ Appendix 7 Population and location of IPs

Table 2: Summary of Recommendations included in the Social Safeguards Due Diligence Report

<p>Areas of Concern/Key Recommendations (July –December 2016)</p>	<p>Accomplishments and Updates for the Period (January-July 2017)</p>
<p>CDD Process</p> <p>There is a need to adjust the CDD process being implemented to ensure meaningful consultation with and effective participation of non-CDC members and disclosure of the draft CAP before CDC members draft the resolution approving/validating the CAP. Corrective measures need to be taken in Mandalay, as well as in Dala Township, Yangon where CDD activities are relatively advanced¹⁸.</p> <p>The adjusted system requires additional input from a CDD specialist and should be implemented in Hlaing Tharyar Township (Yangon) where only CDD orientation has been conducted in Ward 10 (no activities yet in Ward 7).</p> <p>Need to update the lists of CDC members so that these clearly reflect sectoral representation from ethnic groups, women, the youth, and elderly.</p>	<p>Specific adjustments on the CDD process where corrective measures were undertaken focused on(i) participation and involvement of other sectoral groups such as the IPs, youth, elders and women in consultative meetings;(ii) proper documentation on consultative meetings;(iii) collection of genderdata; (iv) disclosure/validation of screening checklists, and (v) validation of the CAP.¹⁹</p> <p>The former NSDGS took steps to involve more participation of other sectors in the following activities which were done in target areas in Yangon and Mandalay which include the following:</p> <p><u>Validation of the CAP.</u> Validation of the CAP was only done in Antgyi West on on 12/18/2016. The other two wards were uncooperative. In Mandalay, there is no record on the validation of the CAP with CDC members.</p> <p><u>Updating of CDC members.</u> The updating of CDC members in Dala (Feb 18 & 20, 2017) and Hlaing Tharyar (March 10/21,2017), included IPs as members of the CDC. The list of CDC members in Dala and Hlaing Tharya include aged group, women, youth and ethnic groups. The updated list of CDC members is attached as Appendix 6.²⁰</p>

¹⁸ CAP validation has been carried out in Mandalay, while In Dala Township Yangon, the CAP workshop has already been carried out. In Dala, it is recommended to wait until the communications specialist is on board before finalizing the CAP validation materials and proceeding with the activity. Prior to the validation activity, sectoral FGDs should be carried out to ensure that feedback is obtained from ethnic minorities, youth, senior citizens, women. The points raised by FGD participants should be integrated into the draft CAP. Similarly, the draft CAP has to be disclosed to other community members and there should be a period during which community members can provide feedback. The feedback can then be discussed among CDC members and integrated before proceeding with the activity where the outcome is the CDC resolutions validating the CAP.

¹⁹ ibid

²⁰ Appendix 6: Updated list of CDC

Areas of Concern/Key Recommendations (July –December 2016)	Accomplishments and Updates for the Period (January-July 2017)
<p>In all project areas, a system has to be developed for community members to receive regular updates on project activities (for example, outcome of CAP workshops) – perhaps through the community PA system. Development of recommendations on this could be one area of focus for a communications specialist.</p>	<p><u>In Mandalay, there is no record on the updating of the CDC members with the inclusion of IPs.</u> The NSDGS assigned in this area was not extended so the updating was not done. This will be undertaken by the incumbent NSDGS during the formation of the GRM Committee Members (simultaneous with the updating) at the Ward level. Results of this will be included in the 3rd quarterly report and incorporated in the 4th SMR.</p> <p><u>Collection of gender data.</u> A survey on gender dimension in Dala (June 2017) and Hlaing Tharya in (July 2017), and in Mandalay (July 2017), involved collection of baseline information regarding the role, status issues and concerns of both men and women in target areas. Data collected were desegregated by gender. The gender analysis has yet to be analyzed which will serve as baseline for the updating of an appropriate Gender Action Plan. This will be included in the last Quarterly Report and in the 4th SMR.</p> <p>A communication plan is still in its draft form, requiring approval from ADB. This will be reflected in the 3rd quarter report and incorporated in the 4th SMR. The capacity building training planned to be undertaken on the fourth quarter of 2017, needs to incorporate a feedback information system as an output that will allow better communication and feedback system in project management.</p>
<p>Consultation methods, approach, materials and documentation</p> <p>Need to put in place measures for all persons involved in the project to have the same understanding of the project and its limitations, and ensure that accurate information is provided to interested stakeholders.</p>	<p>A Project Information Booklet (PIB)²¹ will be produced before the project implementation and given to the CDCs for information dissemination at household level. The PIB will reflect the following information.</p> <ul style="list-style-type: none"> • Brief Project Description • Contact person, address and telephone of the Implementing Agency • Grievance Redress Procedure <p>Before the project implementation, the PIB should be translated into local language, reproduced and provided to MCDC, YCC, CDCs, and household</p>

²¹ A sample of a PIB is attached as Appendix 7

<p align="center">Areas of Concern/Key Recommendations (July –December 2016)</p>	<p align="center">Accomplishments and Updates for the Period (January-July 2017)</p>
<p>Hold separate consultations with vulnerable groups to be carried out to ensure they are able to provide feedback.</p> <p>Consultation and CDD materials should be updated to include the GRM, social safeguards overview, and IA contact persons. The updated materials should be widely distributed to community members. It should be emphasized during future CDD that community members in the subproject areas are welcome to provide feedback or raise any questions with their</p> <p>The participation of youth needs further elaboration in future project monitoring reports.</p>	<p>communities in target areas where sub-projects have to be implemented. The PIB will be endorsed for approval by the MOC, MCDC, YCDC and the ADB.</p>
<p>Social safeguards screening activities</p> <p>The current social safeguards checklists are still drafts for validation. More detailed social safeguards screening checklist has been drafted and included in the DDR, along with simple screening guidelines.</p>	<p>The social safeguards checklist was used as a tool to determine the scale of impact for IR and IP categorization. Validation of the information on the screening checklist was done by the technical team during the Feasibility Study on the following sub-projects: <i>Mandalay (Nov 2015-February 2017)</i> for (i) solid waste management and (ii) roads. In <i>Yangon (Nov 2015–August 2016-February 2017)</i> for (i) Roads and culverts, (ii) drainage for Ward 7, block 13 (109.8 meter) and (iii) solid waste management.(ii) footpath, (iii) water treatment facility and (iv) communal toilets.</p>
<p>Grievance Redress Mechanism</p> <p>A proposed GRM was included as an attachment to the DDR (for finalization after obtaining formal concurrence from IAs and the EA). The GRM has to be disclosed to all community members in target wards, including discussion of this during future CDD Activities and inclusion in project information materials. As in the other CDD activities, it is also important to ensure sectoral representation (including</p>	<p>A grievance redress mechanism has been established to deal with complaints related to project implementation. MCDC confirmed the formation of the Grievance Redress Committee which consists of representatives from the CDCs (3 members), Ward Administration Office (1), Contractor (1), MCDC-PIU Staff (1), IC (1) A focal person has been designated to facilitate the grievance raised. In both Mandalay and Yangon. The procedures for the GRM is explained in Section VII and illustrated in Figure 1. Orientation will be provided to the CDCs (IEC focal persons) along with the distribution of PIB, outlining the GRM procedures to the community before project implementation.</p>

Areas of Concern/Key Recommendations (July –December 2016)	Accomplishments and Updates for the Period (January-July 2017)
<p>ethnic minorities, women, and the elderly) in the grievance redress committee.</p>	
<p>Ensuring Category C for IR Safeguard</p> <p>A refresher social safeguards orientation is recommended for EA and YCDC staff. The schedule and persons who can facilitate the orientation are for further discussions with ADB Headquarters and Myanmar Resident Mission.</p> <p>Requirements for voluntary donation per Grant Implementation Manual were discussed in all meetings during the mission. These requirements (including which households are eligible to donate) have to be emphasized during follow-up consultations. It was noted during the meetings and site visits that the first solution to encroachment mentioned by ward officials, CDC members, IA representatives is for donation of affected assets. Grant household latrines only where the name of the actual occupant of the lot matches the name on record at the YCDC/MCDC land administration department.</p>	<p>Social safeguards should be undertaken as a continuous education and will be incorporated in the modules of the capacity building component planned to be implemented towards the last quarter of 2017. A Resource person from ADB will be tapped to discuss social safeguards measures as part of planning and monitoring framework of the sub-project management.</p> <p>A number of tools (guide to identifying vulnerable households, voluntary donation form and template²² for certifying compliance) were included as attachments to the DDR.</p> <p>The final list of sub-projects would require only donation from a private entity (Monastery) and a certification was secured for land to be used for communal toilets in Dala. The proposed sub-projects for Mandalay and Yangon are all on government land. Certification on land ownership and approval for use of land was also secured for the Project.</p>
<p>Ensuring Category C for IP Safeguard</p> <p>It must be established that there are no differential impacts on ethnic minority households.</p> <p>Data that will be obtained from the household survey can be used to confirm</p>	<p>The Feasibility Study Report and the Screening Checklists that were validated, ascertain that the sub-projects were selected on the principle that will not trigger impact on IPs. In particular, the drainage project that was identified as a priority in Dala was excluded due to high impact on removal of structures belonging to IP households.</p>

²²Voluntary donation guidelines in the GIM were supplemented with the guidelines/procedures developed by the SERD Social Safeguards Network

Areas of Concern/Key Recommendations (July –December 2016)	Accomplishments and Updates for the Period (January-July 2017)
<p>how well integrated ethnic minority households are. At this stage, prior to the household survey, GIC has to implement additional efforts (e.g. FGDs²³) to ensure meaningful consultation with ethnic minority households and ensure representation in CDCs (revise lists of CDC members so that these clearly reflect EM representation).</p>	<p>The analysis on the results of the HHs is currently on-going, which will serve as benchmark for the subsequent monitoring of impact on households and IPs, resulting from the sub-project implementation.</p> <p>Social safeguards screening checklist include additional information on Indigenous Peoples' (IPs) and FGDs were conducted with IPs in March 10/21, 2017, in Ward 7, 10 (Hlaing Tharyar) and in February 18/20, 2017 in Ward 6, Antgyi West Ward in 11/14 respectively. Overall IP's were supportive of the project and they recognize the benefits derived from clean water, improved roads, and clean environment, by unsupportive of the public toilets.</p>

8. **Compliance with Project Social Safeguards Requirements.** According to the GIM, the following activities are to be carried out as part of safeguards due diligence for the Project.

²³ Data from the FGDs can also be used to assess whether or not ethnic minority households are well-integrated in the community

Table 3 Social Safeguards Requirements and Status of Compliance

Grant Implementation Manual (GIM) Requirements	Compliance status Yes/No/Partial		Comment or Reasons for Compliance, Partial Compliance/Non-Compliance	Issues for Further Action ²⁴
	2 nd SRM	3 rd SRM		
<p>Grievance Redress Mechanism - A well-defined grievance redress and resolution mechanism will be established to resolve grievances and complaints in a timely and satisfactory manner. The objective of the grievance redress mechanism is to resolve complaints as quickly as possible and at the local level through a process of conciliation; and, if that is not possible, to provide clear and transparent procedures for appeal. All affected persons will be made fully aware of their rights, and the detailed grievance redress procedures will be publicized through an effective public information campaign.</p> <p>The detailed procedures for this are found in Appendix 11.</p>	Partial	Yes	<p>2nd SRM Proposed GRM was included in the Social Safeguards DDR. Formal concurrence from the EA and IAs has to be obtained after which the GRCs can be established.</p>	<p>2nd SRM Formal concurrence from EA, IAs on GRM to be obtained and GRCs to be established in the next quarter</p>
			<p>3rd SMR The procedures for GRM have been discussed and approval was secured from MCDC and YCDC.</p>	<p>3rd SRM MCDC has designated focal persons to facilitate and respond to grievance raised during project implementation both in Mandalay and Yangon PIU. In addition, GRM Committee members at Ward levels are currently organized before project implementation, simultaneous with the formation of the IEC focal person at CDC/Ward level.</p> <p>A project Information Booklet needs to be produced with GRM and distributed for all households before</p>

²⁴ To be elaborated further in table 2 (Issues for Further Action)

Grant Implementation Manual (GIM) Requirements	Compliance status Yes/No/Partial		Comment or Reasons for Compliance, Partial Compliance/Non-Compliance	Issues for Further Action ²⁴
	2 nd SRM	3 rd SRM		
				project implementation.
Allocation of required funds and resources (i.e. staff).	Partial	Yes	<p>2nd SMR Mobilization of international social safeguards consultant, and two national social development and gender specialists (NSDGS). The contracts of the two NSDGS ended in December 2016.</p> <p>3rd SMR The International Safeguard Specialist was mobilized for one month only. One NSDGS was retained on intermittent basis.</p>	<p>2ndSMR Extension of contracts of the two NSDGS.</p> <p>3rd SMR Only one NSDGS was extended and retained.</p>

<p>A set of criteria and screening procedures²⁵ for eligible projects will be established and specific requirements for land or/and assets donations will be set up and implemented by the Implementation Contractor in collaboration with the CDC.</p>	<p>Partial (implementation ongoing)</p>	<p>Yes</p>	<p>2nd SMR Initial social safeguards due diligence activities carried out in August 2016. Development of detailed screening guidelines and procedures, and elaboration of requirements for land and/or assets donation has been done and included in the social safeguards DDR.</p> <p>Validation of draft screening checklists using the development guidelines, procedures is ongoing in both Mandalay (where focus has so far been on community drainage), and in Yangon (focus has been on Water Treatment Facilities, solid waste collection facilities, community drainage).</p> <p>In November 2016, safeguards due diligence activities revealed that some informal agreements on movement of encroached structures out of the proposed corridor of impact had been made sometime in the first half of 2016.</p> <p>As this is not in line with requirements of a Category C project and with voluntary donation guidelines, corrective actions are required.</p> <p>3rd SMR In Dala, the encroachment of structures on the Right of Way (ROW) for the drainage will trigger</p>	<p>2nd SMR Continue safeguards due diligence activities. Finalize social safeguards screening checklists as part of subproject feasibility studies.</p> <p>It has been reported that the agreements were formed with the participation of CDC members and Ward officials. Social safeguards screening, including requirements for voluntary donation should be included in community debriefing activities. It should be emphasized that movement/donation of assets is guided by specific criteria and not everyone is eligible to voluntarily move or donate their assets for the purpose of the project. This activity can be targeted for the 1st and 2nd quarter 2017, as part of future debriefing activities regarding inclusion/non-inclusion of certain blocks in the project, based on feasibility studies.</p> <p>3rd SMR The final list of sub-projects passed the screening checklist and validated accordingly both by the NSDGS, the international</p>
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Grant Implementation Manual (GIM) Requirements	Compliance status Yes/No/Partial		Comment or Reasons for Compliance, Partial Compliance/Non-Compliance	Issues for Further Action ²⁴
	2 nd SRM	3 rd SRM		
			significant removal of structures belonging to IP households. In Mandalay, the social safeguards findings also revealed significant impact on IPs who are encroaching on the proposed drainage in the 8 blocks of Myayinandar ward. As such, the drainage was not included in the finalization for funding of sub-projects.	Safeguards Specialist and the GIC technical team. Sub-projects were selected based on safeguards requirements, Except for the communal toilets proposed for Dala, all sub-projects proposed for Yangon and Mandalay will be built on government land. A certification was obtained from MOC granting permission for the construction of infrastructure under the project.
Social safeguards compliance monitoring will be included in the regular project progress report and submitted to ADB	Yes	Yes	<p>2nd SMR Social Safeguards Status included in quarterly project progress reports and in the semi-annual safeguards monitoring reports.</p> <p>3rd SMR Social Safeguards Status included in quarterly project progress reports and in the semi-annual safeguards monitoring reports.</p>	<p>2nd SMR Continue incorporating updates on social safeguards activities, progress in regular project progress reports and in semi-annual safeguards monitoring reports submitted to ADB.</p> <p>3rd SMR Continue incorporating updates on social safeguards activities, progress in regular project progress reports and in semi-annual safeguards monitoring</p>

²⁵Criteria and screening procedures for social safeguards compliance (IR and IP) shall include the following features: (a) no subproject will cause any IR and IP impacts; (b) voluntary donation will be an act of informed consent and affected people will not be forced to donate land or other assets with coercion or under duress, or misled to believe that they are obliged to do so; (c) owner of the donated lands/assets must complete the land/ assets voluntary contribution consent declaration form with witnesses from independent third party to ensure that the above requirements are met and the owner is free of any kind of social or political pressures; (d) under any circumstances, the grant fund must not be used for purchasing of land for project implementation

Grant Implementation Manual (GIM) Requirements	Compliance status Yes/No/Partial		Comment or Reasons for Compliance, Partial Compliance/Non-Compliance	Issues for Further Action ²⁴
	2 nd SRM	3 rd SRM		
				reports submitted to ADB.
The CDC shall take the lead in conducting the screening procedures based on an agreed checklist.	Yes	Yes	<p>2nd SMR Screening activities based on the agreed checklist are a collaborative activity between the CDC members and GIC.</p> <p>3rd SMR Screening activities based on the agreed checklist are a collaborative activity between the CDC members and GIC.</p>	<p>2nd SMR Continue involvement of CDC members in screening sub-projects based on an agreed checklist.</p> <p>3rd SMR Continue involvement of CDC members in screening sub-projects based on an agreed checklist.</p>
The assigned Implementation Contractor and government counterpart staff for safeguards issues will: (a) receive adequate training on ADB's safeguard policy requirements and safeguards screening procedures; (b) conduct required consultations with all the land users and owners of the project beneficiaries including participating community development committees (CDC) members on project activities and safeguards requirements; (c) provide training to the participating CDCs on ADB safeguards principles and subproject screening procedures; (d) regularly monitor the project compliance on safeguards policy and prepare a report for submission to ADB.	Partial	Partial	<p>2nd SMR Social Safeguards Consultant has been engaged and has carried out training for some of the government counterpart staff of Mandalay IA (new staff members were assigned after August 2016) and other GIC team members. Training for government counterpart staff will be completed within the next monitoring period. Consultations with land users and owners and project beneficiaries included participating CDC members on project activities and safeguards requirements is ongoing as safeguards due diligence and CDD activities continue. Training to the participating CDCs on</p>	<p>2nd SMR Training for government counterpart staff to be completed. Continue monitoring safeguards compliance and report on this to ADB.</p> <p>3rd SMR Mobilization of a Capacity Building Specialist to undertake a participatory training needs assessment with MOC, YCDC, MCDC, CDCs and other entities to: a) identify appropriate training modules based on needs, b) screen and identify a Service Provide to carry out the training.</p>

Grant Implementation Manual (GIM) Requirements	Compliance status Yes/No/Partial		Comment or Reasons for Compliance, Partial Compliance/Non-Compliance	Issues for Further Action ²⁴
	2 nd SRM	3 rd SRM		
			<p>ADB safeguards principles and subproject screening procedures were carried out in October 2016. Project compliance on safeguards policy is done regularly by safeguards consultants and is included in reports submitted to ADB.</p> <p>3rd SMR Project compliance on safeguards policy is a conscious and continuing effort done by Safeguards Consultants in every phase of the project from planning through implementation and monitoring. The capacity building component planned to be done in the last quarter of 2017 will include Modules that will address safeguards measures and consultations methods that will include government counterparts, CDCs and contractors. Training on capacity building is expected to commence on the last quarter of 2017, and status report will be incorporated in next monitoring period.</p>	
A set of criteria and screening procedures for eligible subprojects will be established and specific requirements for land or/and assets donations will be set up and implemented by the CDC	Partial (implementation ongoing)	Yes	<p>2nd SMR Criteria and screening procedures for eligible subprojects and requirements for asset donation have been established and refined for the project. These are currently being used to</p>	<p>2nd SMR Continue implementing agreed criteria and screening procedures, and voluntary donation guidelines for eligible subprojects</p>

Grant Implementation Manual (GIM) Requirements	Compliance status Yes/No/Partial		Comment or Reasons for Compliance, Partial Compliance/Non-Compliance	Issues for Further Action ²⁴
	2 nd SRM	3 rd SRM		
			<p>guide the social safeguards screening activities as part of sub-project feasibility studies.</p> <p>3rd SMR The screening checklists have been validated on field and cleared by the IC team which formed the basis for the finalization of the sub-project</p>	<p>3rd SMR Criteria followed accordingly and voluntary donation secured as required.</p>
<p>The CDCs will include representatives from vulnerable groups such as ethnic minorities during subprojects selection activity to ensure their needs and interests.</p>	Partial	Yes	<p>Each CDC includes women, as required in the GIM. List of members of all CDCs identifying ethnic group members is still being prepared; IP mapping is still being carried out. Mapping activities in Dala township indicate that ethnic minorities have not been represented in the CDCs. Thus CDC membership will have to be updated.</p> <p>3rd SMR CDC included women, as required in the GIM. A final list of members of all CDCs includes ethnic group and are well represented in CDCs in Dala and Hlaing Tharya, IPs were included as members of CDC in these wards. CDC membership has been also finalized in Dala and Hlaing Tharya. IP mapping is being finalized for Thinpangone and Myayinandar wards.</p>	<p>Continue verifying representation of ethnic minorities in CDCs (for blocks with the presence of ethnic minorities). Updating of CDC membership where ethnic minorities are present but not represented in the CDCs.</p> <p>3rd SMR Continue involvement of IPs in all phases of the sub project activities.</p>

Grant Implementation Manual (GIM) Requirements	Compliance status Yes/No/Partial		Comment or Reasons for Compliance, Partial Compliance/Non-Compliance	Issues for Further Action ²⁴
	2 nd SRM	3 rd SRM		
Grant Agreement Letter				
The Government, through the Implementation Contractor, shall ensure that all bidding documents and contracts for Works contain provisions that require contractors to: (a) make available a budget for all social measures	N/A	Partial	2nd SMR Sub-projects are still being finalized 3rd SMR All projects have been finalized at this stage Bidding documents are currently prepared for procurement	2nd SMR None 3rd SMR Ensure allocation of budget for all social measures
The Government shall ensure that the Implementation Contractor does the following: (a) submit semi-annual Safeguards Monitoring Reports to ADB and disclose relevant information from such reports to affected persons promptly upon submission (b) If any unanticipated environmental and/or social risks and impacts arise during construction, implementation or operation of the Project that were not considered in the IEE and the EMP, promptly inform ADB of the occurrence of such risks or impacts, with detailed description of the event and proposed corrective action plan;	Partial (being complied with)	Partial	2nd SMR This is the second semi-annual monitoring report submitted. 3rd SMR This document represents the 3 rd Semi-Annual Monitoring Report	2nd SMR Finalization of 2016 semi-annual monitoring reports. Submission of 2017 semi-annual monitoring reports. 3rd SMR Preparation for the 4 th Semi-Annual Monitoring Report

VI. SUMMARY OF ACCOMPLISHMENTS FOR THE PERIOD

9. The following key activities on the social aspects were accomplished for the Period: January –June 2017

- Validation of safeguards screening list for each sub-project;
- Validation of CAPs for all sub-projects;
- Updating and mapping out of CDCs in target areas where the final sub-projects will be implemented; except in Mandalay (due to demobilization of the NSDGS in that area).
- Inclusion of IPs and vulnerable groups, youth, and elderly as CDC member;
- Finalization and approval of the GRM procedures and formation of a Grievance Redress Committee. GRM focal persons have been designated in Mandalay and Yangon.
- Gender Data collected in target sites for analysis.
- Data on households surveys have been processed and tabulated for analysis.

VII. GRIEVANCE REDRESS MECHANISM

10. A grievance Redress mechanism has been established to receive, evaluate and facilitate the resolution of Affected Persons' concerns, complaints and grievances about the social and environmental performance at the level of the subproject. Prior to sub-project finalization, a grievance redress committee (GRC) was established consisting of representatives from the CDCs (3 members, including women and ethnic group representatives), Ward Administration Office (1), YCDC/MCDC-PIU Staff (1) and, prior to construction, contractor representative (1) and IC (1). The procedures for the GRM is provided below and illustrated in Figure 1.

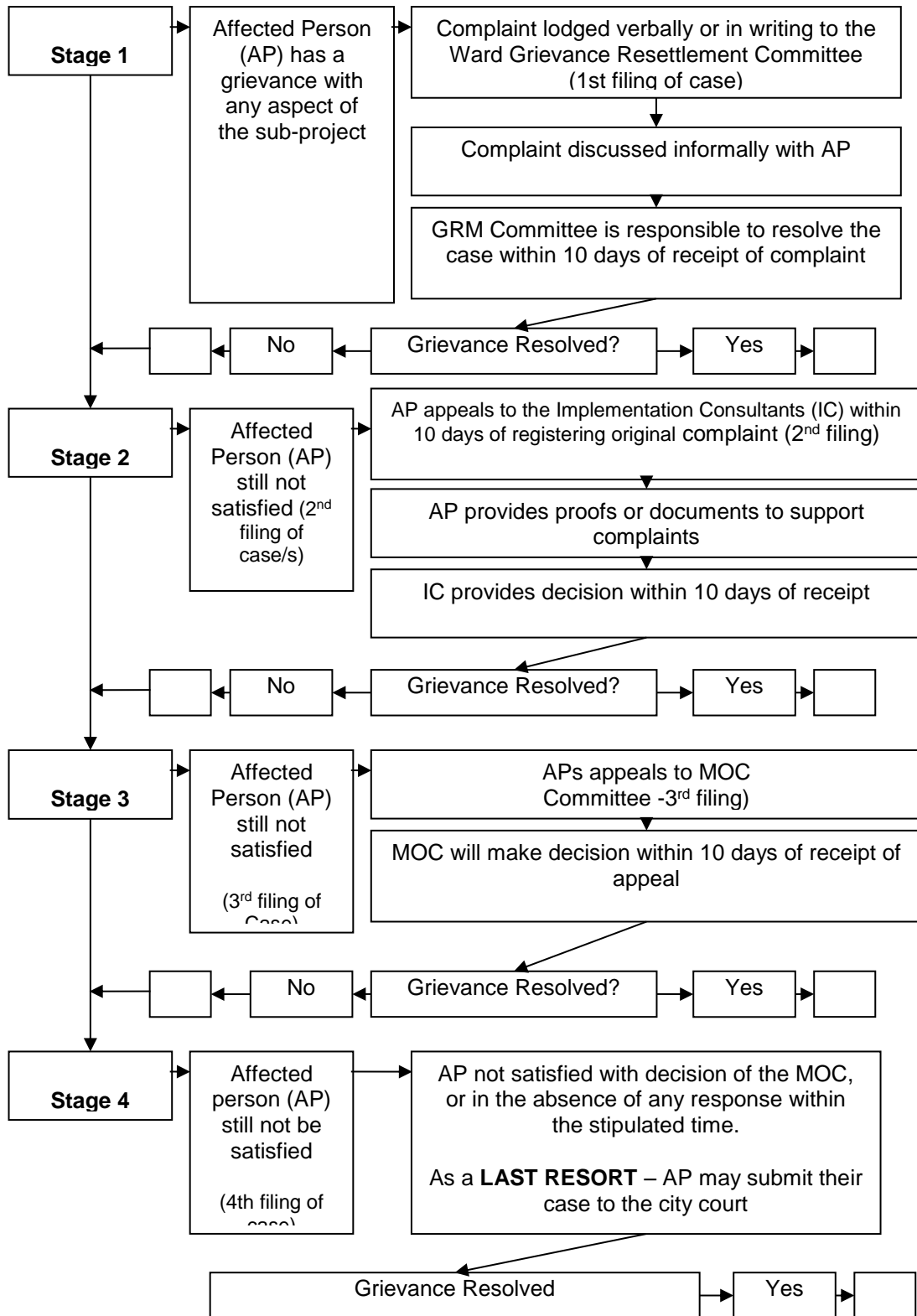
Stage 1: In the first instance, AP/s will address complaints to the designated members of the grievance redress committee. The committee will organize a meeting with the AP/s to resolve the issue using traditional methods of conciliation and negotiation; the meeting will be held in a public place and will be open to other members of the public to ensure transparency.

Stage 2: If within 10 days of lodging the complaint, no understanding or amicable solution can be reached, no response is received from GRC, or the AP/s is not satisfied with the decision, the AP/s can bring the complaint to the AP/s can appeal to the implementation consultants. The IC will provide a decision on the appeal within 10 days.

Stage 3: If the AP/s is still not satisfied with the decision of the IC, or in the absence of any response within the stipulated time, the AP/s can submit his/her grievance to MOC. The MOC will render within 10 days of receiving the appeal.

Stage 4: As a last resort, the AP/s may submit his/her case to the Court of Law. The complaint will be lodged with the Court of Law; the decision of the Court will be final. All complaints filed and updates on their resolution will be included in regular project progress reports.

Figure 1: Procedures on Grievance Redress Mechanism



VIII. NEXT STEPS

Issues to be Addressed	Action to be Taken
<p><i>Issues carried forward from the 2nd Semi-Annual Monitoring Report:</i></p> <p>In all project areas, a system has to be developed for community members to receive regular updates on project activities (for example, outcome of CAP workshops) – perhaps through the community PA system.</p> <p>Development of recommendations on this could be one area of focus for a communications specialist.</p>	<p>Designing of appropriate culturally acceptable messages in support of sub-project's objectives.</p> <p>The capacity building planned for the last quarter of 2017 needs to incorporate modules that will be developed to enhance the following:</p> <ul style="list-style-type: none"> • a communication strategy that will keep abreast of regular updates on project activities between the project implementer and the community. Various means may be used to widen information such as radio, conduct of regular meetings and participation of CDCs in community forums. • Design and production of culturally appropriate and socially acceptable messages on cross-cutting issues to raise public awareness on the project objectives related to health, HIV prevention, environmental sanitation, water conservation. Etc. <p>The above outputs will be done as a participatory effort of participants consistent with the participatory approach adopted for the project.</p>
<p>Data that will be obtained from the household survey can be used to confirm how well integrated ethnic minority households are.</p>	<p>The administration of the household survey was subcontracted to an independent firm and data has been obtained and processed. A summary on the analysis on the results of households' survey will be reflected on the 4rd Quarterly Report and in the 4th Monitoring Report.</p>

New Issues for this Period	Action to be Taken (for incorporation in the 4 th SMR)
The DMF specifies a stakeholder's communication strategy (Appendix 13.1) which includes a budget for disseminating key messages.	<p>Ensure budget appropriation to widen coverage of information on key messages. Messages related to cross-cutting issues such as health and sanitation, environmental preservation, prevention of HIV/AIDS could be jointly conceptualized and developed by the participants during the Capacity Building training planned to be undertaken on the last quarter of 2017.</p> <p>Production of Project Information Booklet (PB)²⁶ for disclosure to stakeholders on the sub-project, including procedures on GRM before project implementation takes place.</p>
<p>Strategy for waste collection in Ward 6 (Dala)</p> <p>Some 610 households in Dala do not have access to solid waste management due to tenurial status. The current practice of these households is to throw their waste into the river which is hazardous to the environment.</p>	<p>There is a need to establish a mechanism for solid waste collection for the 610 households in Dala. Problem on tenurial status of these households deprives them of gaining access to solid waste services. Discussion with the Dala ward, CDC in Ward 6 and the Cleansing Department on collection scheme, has to be facilitated by the NSDGS to come up with terms and agreement for them to benefit from the solid waste services.</p>
Delivery of infrastructure component of the project	<p>It is expedient for the Project to deliver the infrastructures component simultaneous with strengthening of the community to sustain the motivation of the CDCs and develop trust. This should further be enhanced by a continuous education of community leaders and government partners toward joint participatory planning, and in identifying areas for cooperative action, not only for undertaking this current project but in sustaining future development community initiatives. This is something that will take time, for the required trust to build up and developing sense of community ownership.</p>
Training of CDCs on waste management	<p>The upcoming capacity building training/workshop is conceived as an initial step to develop skills, open lines of communication, identify problems and opportunities and build partnership with the government. Selected members from the CDCs need to be identified as participants for them to gain</p>

²⁶ See Sample of PIB for approval of participants, MOC/MCDC/YCDC and ADB during the Capacity Building Training/Workshop.

New Issues for this Period	Action to be Taken (for incorporation in the 4th SMR)
	<p>knowledge and skills to equip them as partner of the government in the management of sub-projects.</p> <p>Specific training of CDC could be in the area of solid waste management, (waste segregation, recycling) and even opportunities to earn generated from recyclable materials and valuable wastes.</p>
<p>Clear understanding on the role of CDC's in sub-project implementation and monitoring Participatory management requires commitment and a sustainable mechanism is needed to strengthen the CDCs in collaborative work.</p>	<p>A Manual on sustainable participatory approach is recommended to institutionalize the process and to serve as systematic guide for the CDC as development partners.</p> <p>The role of CDCs does not end after the Project. It is also recommended that there must be a continuous education, exposure to other areas where similar approach is undertaken, for them to learn, enhance their skills and sustain their motivation.</p>
<p>Mainstreaming of Gender dimension in sub-projects A Gender Action Plan framework has been prepared based on the DMF reflected in the GIM.</p>	<p>There is need to review, revise or enhance the gender action plan to take into account the following:</p> <ul style="list-style-type: none"> • Results of the gender analysis based on data collected from each target areas; • Achievable targets to be defined with inputs from MCDC and YCDC and ADB.
<p>Grievance Redress Mechanism</p>	<p>There is a need to ensure that the grievance redress mechanism is posted in strategic location where CDCs and communities have access and fully informed of the procedures for grievance. The PIB where GRM is incorporated needs to be translated in local language and posted in strategic areas.</p>
<p>Allocation of required funds and resources (i.e. staff).</p>	<p>Budget requirement must be secured for the following:</p> <ul style="list-style-type: none"> • Procurement of an institution to conduct the training • Implementation of the capacity building program • Production of PIB • Production of information messages • Mass media information channel (radio, TV, newspapers, etc.)

