Ethnic Minority Development Framework

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Cambodia: Climate-Friendly Agribusiness Value Chains Sector Project

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CURRENCY EQUIVALENTS
(As of 25 October 2017)

Currency unit – riel/s (KR)

KR1.00 = $0.00025
$1.00 = KR4,039

ABBREVIATIONS

ADB – Asian Development Bank
CFAVCP – Climate-Friendly Agribusiness Value Chains Sector Project
EMDP – ethnic minority development plan
EMO – external monitoring organization
GMS – Greater Mekong Subregion
IMC – Inter-ministerial Committee
IPP – Indigenous Peoples’ Plan
MAFF – Ministry of Agriculture, Forestry and Fisheries
MEF – Ministry of Economy and Finance
MRD – Ministry of Rural Development
PDAFF – Provincial Department of Agriculture, Forestry and Fisheries
PGRC – Provincial Grievance Review Committee
PMU – project management unit
PPP – public-private partnerships
PPTA – project preparatory technical assistance
SIA – social impact assessment
SPS – Safeguard Policy Statement

NOTE

In this report, "$" refers to United States dollars.

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# CONTENTS

<table>
<thead>
<tr>
<th>I. Introduction</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. The Project</td>
<td>1</td>
</tr>
<tr>
<td>B. Impact, Outcomes, and Outputs</td>
<td>1</td>
</tr>
<tr>
<td>C. Safeguard Categorization</td>
<td>2</td>
</tr>
<tr>
<td>D. Purpose of the Framework</td>
<td>3</td>
</tr>
<tr>
<td>E. Framework Principles</td>
<td>3</td>
</tr>
<tr>
<td>F. Ethnicity in Cambodia</td>
<td>4</td>
</tr>
</tbody>
</table>

| II. Relevant Policy on Ethnic Groups                 | 5    |
| A. Asian Development Bank                            | 5    |
| B. Government of Cambodia                            | 6    |
| C. Gaps between ADB and Government Policies          | 7    |

| III. SubProject Scoping and Screening                | 12   |
| A. Social Impact Assessment                          | 13   |

| IV. Ethnic Minority Peoples Planning                 | 15   |
| A. Table of Project Impacts                          | 15   |
| B. IP/Ethnic Minority Development Framework Recommendations | 18   |
| C. Stakeholder Consultations and Participation       | 20   |
| D. Documentation of the Consultation Process         | 23   |
| E. Addressing Gender Disparities                     | 23   |

| V. Grievance Redress Mechanisms                      | 24   |

| VI. CFAVCP Institutional Arrangements                | 25   |
| A. National Level                                    | 25   |
| B. EMDP Implementation Arrangements                  | 26   |
| C. Provincial Level                                   | 26   |
| D. District and Commune Level                         | 26   |
| E. Consultants                                       | 27   |

| VII. Monitoring and Reporting Arrangements            | 27   |
| A. Indicators                                        | 27   |

| VIII. Budget and Financing                           | 28   |

## APPENDIXES

- Appendix 1: Indigenous People and Ethnic Minority Peoples Impact Screening Checklist for Subprojects | 29   |
- Appendix 2: Social Impact Assessment Concepts and Methods | 31   |
- Appendix 3: Outline of an Indigenous Peoples’ Development Plan | 34   |
I. INTRODUCTION

A. The Project

1. The Asian Development Bank (ADB) approved a project preparatory technical assistance (PPTA) for Climate-friendly Agribusiness Value Chains Sector Project (CFAVCP), with funding support from Japan’s Asia Clean Energy Fund and the Canadian Climate Change Fund for the Private Sector in Asia. The proposed project will enhance rural household incomes and agricultural competitiveness by providing improved critical production and post-harvest infrastructure, reducing energy costs by promoting bio-energy use and sustainable biomass management and offering targeted agribusiness policy and capacity support services. The selected provinces are Kampong Cham and Tbong Khmum with connectivity to the Greater Mekong Subregion (GMS) Southern Economic Corridor while Kampot and Takeo are linked to the GMS Southern Coastal Economic Corridor.

2. The project will support the implementation of the Agriculture Sector Strategic Development Plan\(^1\) by increasing agricultural production, crop quality and enhancing rural wealth through all-inclusive stakeholder support, including government institutions in the value chain and its service providers, and the Industrial Development Policy,\(^2\) particularly in improving agricultural production infrastructure, intensification and commercialization of the production base for rice, maize, cassava, and mango. It will also give support to the rice policy\(^3\) by transforming subsistence rice farmers into commercial orientated businesses. The project is consistent with the ADB Midterm Strategy 2020\(^4\) of poverty reduction and economic growth particularly in rural areas, addressing climate change through climate resilience infrastructure development, climate smart agriculture and utilization of bio-energy and public-private partnership (PPP) interventions and opportunities, and in conformity with the ADB Country Partnership Strategy (2014-2018)\(^5\) with outcomes to increase crop production and formal employment opportunities which are all inclusive.

3. This report presents the due diligence that has taken place to assess any indigenous people or ethnic minority impacts that may be expected to occur during implementation of the project and its composite subprojects, and to provide an approach to ensure that all project activities equally benefit ethnic minorities in the project area as per ADB’s Safeguard Policy Statement (SPS) 2009, Safeguard Requirement 3. Application of screening criteria indicates that the project will be classified as category B according to SPS 2009, mitigatable impacts have been identified that could affect ethnic minority households living in target communities.

B. Impact, Outcomes, and Outputs

4. The impact will be agricultural competitiveness in the project areas improved. The outcome will be more productive and resource efficient agribusiness value chains in the project areas. The project will have three major outputs:

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5. **Output 1: Critical agribusiness value chain infrastructure improved and made climate resilient.** This involves rehabilitating and modernizing critical infrastructural production and post-harvest infrastructure (e.g., water storage and small scale irrigation systems, drying, storage facilities and laboratory facilities, agricultural mechanization and agribusiness training facilities) to increase production, improve resource efficiency, reduce post-harvest losses, and enhance quality and value chain linkages. It includes development of integrated systems for managing agricultural waste and residues in rice, maize cassava and mango value chains to enhance their competitiveness, reduce greenhouse gas (GHG) emissions and environmental risks, and contribute to energy independence. Five activities identified are as follows:
   (i) Climate resilient water management infrastructure, includes drip irrigation and ponds;
   (ii) Agricultural cooperative value chain infrastructure enhanced, including connectivity/access to markets & road networks;
   (iii) Improved connectivity through resilient rural connector roads;
   (iv) Infrastructure for agricultural testing and training at national and provincial levels;
   (v) Renewable energy for value chain improvement.

6. **Output 2: Climate smart agriculture and agribusiness promoted for key value chains.** This will include enabling agribusiness policy and regulatory environment for agribusiness ad support to mainstreaming climate change concerns into agribusiness at both policy and operational levels. It will include consultant’s support and institutional strengthening for subproject preparation, procurement, financial management and safeguards, and diffusion of knowledge and technologies for agribusiness value chains. Three activities identified include the following:
   (i) Climate resilient varieties developed and disseminated;
   (ii) Capacity in climate friendly production practices and technologies enhanced; and
   (iii) Farm mechanization and extension through mechanical workshops and training facilities.

7. **Output 3: Enabling environment for climate smart agribusiness enhanced:** Under this output, the project will invest in the creation of an enabling policy and regulatory environment for agribusinesses, the identification of opportunities for private sector engagement in climate change mitigation and adaptation, and provision of improved climate and market information services to allow farmers to plan their cropping season. This output will facilitate harmonization of standards, public-private partnerships, and green financing. Three key activities include:
   (i) Climate friendly agribusiness policies and standards;
   (ii) Green finance and risk sharing mechanisms; and
   (iii) Information and communication technology to support climate risk management.

C. **Safeguard Categorization**

8. The project has been classified as category B. Although there are no indigenous people in the project provinces (Kampong Cham, Kampot, Takeo, and Tbong Khmum) the project does include areas with ethnic minority households, either maintaining separate communities within wider Khmer communities (see Figure 1). It is therefore possible that during project implementation, some subprojects are selected to include some ethnic minority households or communities. However, given the nature of project interventions and particularly the livelihood
patterns of ethnic minorities in the project provinces, it is unlikely that many ethnic minorities will be involved in selected subprojects.

D. Purpose of the Framework

9. The 2009 ADB SPS covering affected indigenous people or ethnic minority groups is triggered if a project directly or indirectly affects the dignity, human rights, livelihood systems, or culture of indigenous people or ethnic minority or affects the territories or natural or cultural resources that indigenous people or ethnic minority own, use, occupy, or claim. Demographic information from the project provinces indicates that there are ethnic minority (and not indigenous people) households present, and although no indigenous people or ethnic minority households were found in the three subprojects studied at feasibility, it is possible that some ethnic minority households will be the beneficiaries under the subprojects that will be identified during CFAVCP implementation and in which case an indigenous people’s plan (IPP) would be needed.

10. This framework should be used to guide screening for impacts on ethnic minorities, conducting social impact assessments (SIA) and in the preparation of the IPP that pertains to any specific subproject impacting on ethnic minorities. The IPP is implemented in parallel with the specific subproject concerned.

11. The approach being taken under this framework is to ensure access to project activities and benefits for all households in the target communities without discrimination. Project operational procedures contain mechanisms to ensure inclusive development where ethnic minorities are given the same opportunities for informed consultation, participation, decision making, and benefit sharing as mainstream Khmer households. An Ethnic Minority Development Plan (EMDP) is prepared to guide and ensure full inclusion and consultation with any ethnic minority groups or households should they be present in any of the subprojects selected for implementation.

E. Framework Principles

12. In pursuit of the abovementioned objective, the CFAVCP and its subprojects will be governed by the following principles in respect of ethnic minorities:

(i) Early screening to determine ethnic minority presence and/or collective attachment to the project area as well as potential project impacts on ethnic minorities;

(ii) Conduct of culturally appropriate, gender-sensitive, and technically backed-up SIA, wherein full consideration to ethnic minority generated options with regards to benefits and mitigation measures, are taken into account and translated into ethnic minority plans that includes a framework for continued consultation and culturally appropriate disclosure modalities during project implementation, specifies measures to ensure ethnic minorities receive culturally matched benefits, identifies measures to avoid, minimize, mitigate, or compensate for any adverse project impacts, and includes culturally acceptable grievance procedures, monitoring and evaluation arrangements, and a budget and time-bound actions for implementing the planned measures;

(iii) Undertake meaningful consultations with affected ethnic minority communities and households to maximize their participation across project cycle and to avoid adverse impacts and to provide a culturally appropriate grievance review mechanism;
(iv) Avoid restricted access to and physical displacement from customary land areas and avoid marginalization, and ensure that affected ethnic minority communities participate in all aspects of the project cycle and that their benefits are equitably shared;

(v) Prepare an IPP that is based on the SIA with the assistance of qualified and experienced experts that addresses ethnic minority needs in order to fully participate in the project activities. The EMDP includes a framework for continued consultation with the affected ethnic minority communities during project implementation; specifies measures to ensure that ethnic minorities receive culturally appropriate benefits; identifies measures to avoid, minimize, mitigate, or compensate for any adverse project impacts; and includes culturally appropriate grievance procedures, monitoring and evaluation arrangements, and a budget and time-bound actions for implementing the planned measures;

(vi) Disclose the draft EMDP, including documentation of the consultation process and the results of the SIA in a timely manner, in an accessible place and in a form and local languages understandable to affected ethnic minority communities and other stakeholders. The final EMDP and its updates will also be disclosed to the affected ethnic minority communities and other stakeholders; and

(vii) Monitor implementation of the EMDP using qualified and experienced experts; adopt a participatory monitoring approach, wherever possible; and assess whether the EMDP’s objective and desired outcome have been achieved, taking into account the baseline conditions and the results of EMDP monitoring. Disclose monitoring report.

F. Ethnicity in Cambodia

13. The largest of the ethnic groups in Cambodia are the Khmer who comprise approximately 90% of the total population and mainly live within the lowland Mekong subregion and the central plains. The remaining 10% are non-Khmer ethnic groups, comprising of Chams (predominantly Muslim and originally from Vietnam), ethnic Vietnamese, ethnic Chinese, and the indigenous Khmer Loeu (hill-tribes). The non-indigenous ethnic minorities include immigrants and their descendants who live among the Khmer and have mostly adopted, at least nominally, Khmer culture and language.6,7

14. Among these non-Khmer ethnic groups, only the hill-tribes are categorized as indigenous peoples by the Government of Cambodia (the government) as, according to ADB definitions, these groups maintain their distinct language and other cultural practices. The government has formally recognized some 56 minority groups as “Indigenous” and the definition accords with that of ADB's SPS (2009) purposes but excludes ethnic Vietnamese groups. The indigenous ethnic minorities constitute the majority in the remote mountainous provinces of Ratanakiri, Mondulkiri and Stung Treng and Kratie province. While there are no hill-tribe groups there are some ethnic minority and Cham households living in Khmer communities in the target provinces. With the exception of the hill-tribes, non-Khmer ethnic groups are generally well assimilated in Khmer society.8 Cham are considered Cambodians and are afforded citizenship.

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15. Ethnic minorities may either live in their own communities within wider Khmer communities or have fully integrated into Khmer communities but still retain their ethnic character and in some cases language.

16. The Inter-Censal Population Survey 2013 report indicates that highland tribal groups and a few minority religious groups account for 0.6% of the national population. However, if based on mother tongue, speakers of ethnic minority languages (including both indigenous and nonindigenous ethnic minorities), will constitute 2.26% of the national population. The map below indicates the main areas of indigenous people and ethnic group concentrations.

**Figure 1: Indigenous People and Ethnic Minority Population Locations**

![Map showing ethnic minority population locations](https://www.globalsecurity.org/jhtml/jframe.html#http://www.globalsecurity.org/military/world/cambodia/images/map-cambodia-ethnic-1972.jpg)


### II. RELEVANT POLICY ON ETHNIC GROUPS

#### A. Asian Development Bank

17. ADB recognizes the rights of ethnic minorities to direct the course of their own development. Ethnic groups do not automatically benefit from development, which is often planned and implemented by those in the mainstream or dominant population in the countries in which they live. Special efforts are needed to engage ethnic minorities in the planning of development programs that affect them, in particular development programs that are supposedly designed to meet their specific needs and aspirations. In some countries, ethnic minority groups are increasingly threatened as development programs infringe into areas that they traditionally own, occupy, use, or view as ancestral domain.
18. ADB’s SPS 2009 aims to (i) avoid adverse impacts of projects on the environment and affected people, where possible; (ii) minimize, mitigate, and/or compensate for adverse project impacts on the environment and affected people when avoidance is not possible; and (iii) assist in strengthening country safeguards systems and develop the capacity to manage environmental and social risks.

19. The objectives of ADB’s SPS (2009) in relation to indigenous people/ethnic minorities is to design and implement projects in a way that fosters full respect for indigenous people/ethnic minority identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the indigenous people themselves so that they:

(i) receive culturally appropriate social and economic benefits;
(ii) do not suffer adverse impacts as a result of projects; and
(iii) can participate actively in projects that affect them.

20. The indigenous people safeguards are applied equally to ethnic minorities and will be triggered if a subproject directly or indirectly affects the dignity, human rights, livelihood systems, or culture of indigenous people or affects the territories or natural or cultural resources that indigenous people own, use, occupy, or claim as an ancestral domain or asset.

21. The term indigenous people is used in a generic sense to refer to a distinct, vulnerable, social, and cultural group possessing the following characteristics in varying degrees: (i) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; (ii) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; (iii) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and (iv) a distinct language, often different from the official language of the country or region. In considering these characteristics, national legislation, customary law, and any international conventions to which the country is a party will be taken into account. A group that has lost collective attachment to geographically distinct habitats or ancestral territories in the project area because of forced severance remains eligible for coverage under this policy.

B. Government of Cambodia

22. The 1993 Cambodian Constitution guarantees all citizens the same rights regardless of race, color, sex, language, and religious belief. In recent years, the government has made reference to indigenous people (literally, indigenous minority peoples) in various laws and policies.

23. The 2001 Cambodian Land Law laid the groundwork for communal land titling in indigenous communities and this legal framework was bolstered by the 2009 Policy on Registration and Right to Use of Land of Indigenous Communities, and the Sub-Decree on Procedures of Registration of Land of Indigenous Communities.

24. Indigenous communities have the right to collective ownership of their lands, which gives them all the rights and protection of ownership as enjoyed by private landowners. The lands of indigenous communities include residential and agricultural land and encompass land actually cultivated and the lands reserved for shifting cultivation. Indigenous communities shall continue to manage their community land according to their traditional customs, pending the determination of their legal status. Once they are registered as legal entities, communities can apply for the registration of their collective title (Land Law 2001, Article 23 to 25).
25. According to the new constitution of 1993 and the Land Law of 2001 five main categories of property on land can be distinguished:
   (i) private land;
   (ii) state public land (all areas need for public services such as roads, river banks, etc.);
   (iii) state private land (all other areas owned by the state);
   (iv) communal land; and
   (v) indigenous land.


27. Cambodia is a signatory to a number of international instruments that are designed to protect the rights of indigenous people including: (i) International Covenant on Economic, Social, and Cultural Rights; (ii) International Covenant on Civil and Political Rights; (iii) International Convention on the Elimination of All Forms of Racial Discrimination; and (iv) Discrimination (Employment and Occupation) Convention 111 of the International Labor Office. In 2007, the government supported the adoption of the United Nations Declaration on the Rights of Indigenous Peoples, but has still not ratified the International Labor Office Convention 169.

28. The Department of Ethnic Minority Development (the department), under the Ministry of Rural Development, is the lead government agency working on indigenous people/ethnic group issues. The department was established in 1999 after the Inter-Ministerial Committee (IMC) was abolished. The department mainly works to maintain the culture, beliefs, and traditions of indigenous people through a formal process of establishing the identity and conditions of indigenous people groups in Cambodia (a total of 56 indigenous people groups has been recognized as legal indigenous people groups). The department operates through indigenous people offices in the provinces. Indigenous peoples are represented in the formal governance structures in Cambodia from the village, commune, and through to the district/provincial levels. The role of this agency is focused on policy matters and in implementing government programs specifically targeting indigenous peoples.

C. Gaps between ADB and Government Policies

29. There are numerous areas of policy difference between ADB and the government. One important area is that of the definition of indigenous people as opposed to ethnic minorities which is illustrated with the non-citizenship of some ethnic minorities born in Cambodia. The denial of citizenship affects entitlements such as legal identification, enrolment at education centers, qualification for government benefits and programs, land ownership, ability to borrow money from financial institutions amongst others. The citizenship issue is beyond the influence of the project and the Ethnic Minority Development Framework, and must be viewed as a constraint to be mitigated however possible. The CFAVCP is a project focused on value chains and any capacity building under the project is directed towards value chains and improving climate change resilience within value chains. Where there are conflicts between the ADB policy
guidelines and the government operational policy, the ADB guidelines take precedence whenever possible.

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<th>ADB SPS 2009</th>
<th>Government Requirements</th>
<th>Implementation of the CFAVC Project</th>
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<td>1. Screen early on to determine (i) whether indigenous peoples are present in, or have collective attachment to the project area; and (ii) whether project impacts on indigenous peoples are likely.</td>
<td>No screening process is required in the Cambodian legal framework.</td>
<td>Screening for subproject selection will be carried out at a very early stage based on the ADB's indigenous peoples Impact Screening Checklist (Appendix 3). This will identify potential impacts and determine requirements under the ADB SPS.</td>
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<td>2. Undertake a culturally appropriate and gender-sensitive SIA or use similar methods to assess potential project impacts, both positive and adverse, on indigenous peoples. Give full consideration to options the affected indigenous peoples preference in relation to the provision of project benefits and the design of mitigation measures. Identify social and economic benefits for affected indigenous peoples that are culturally appropriate and gender and inter-generationally inclusive and develop measures to avoid, minimize, and/or mitigate adverse impacts on indigenous peoples.</td>
<td>Social impacts assessment will be prepared and updated for all subprojects in areas with indigenous people/ethnic minorities under CFAVCP. The assessment will cover both positive and adverse impacts on the local ethnic minorities as well as to develop the measures to minimize the potential adverse impacts with fully participation of local indigenous peoples.</td>
<td>CFAVCP will require extensive consultation with ethnic minority communities and or households benefiting or otherwise impacted by any selected subproject to ensure participation and inclusion in the project activities including designing, implementing, and</td>
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<td>3. Undertake meaningful consultations with affected indigenous people communities and concerned organizations to solicit their participation (i) in designing, implementing, and monitoring measures to avoid adverse impacts or, when avoidance is not possible, to minimize,</td>
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<td>mitigate, or compensate for such effects; and (ii) in tailoring project benefits for affected indigenous people communities in a culturally appropriate manner. To enhance indigenous peoples’ active participation, projects affecting them will provide for culturally appropriate and gender inclusive capacity development. Establish a culturally appropriate and gender inclusive grievance mechanism to receive and facilitate resolution of indigenous peoples’ concerns.</td>
<td>monitoring measures to avoid adverse impacts or, when avoidance is not possible, to minimize, mitigate, or compensate for such effects, The CFAVCP Framework will require cultural and linguistic sensitivity in these consultations.</td>
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<td>4. Ascertain the consent of affected indigenous people communities to the following project activities: (i) commercial development of the cultural resources and knowledge of indigenous peoples; (ii) physical displacement from traditional or customary lands; and (iii) commercial development of natural resources within customary lands under use that would impact the livelihoods or the cultural, ceremonial, or spiritual uses that define the identity and community of indigenous peoples. For the purposes of policy application, the consent of affected indigenous people communities refers to a collective expression by the affected indigenous people communities, through individuals and/or their recognized representatives, of broad community support.</td>
<td>The grievance redress mechanism has been developed and will be discussed and disclosed publically in the communities and in the case of EMs will include representation from the Department of indigenous people from Ministry of Rural Development (MRD) at the provincial level. No such interventions will occur under the CFAVCP however as project policy, the project will ensure full consultation and the consent of local EM to benefit from the use of their cultural resource and knowledge if it arises. Consent through broad community support will be observed.</td>
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| for such project activities. Broad community support may exist even if some individuals or groups object to the project activities. Economic Land Concession sub-decree stipulates requirements:  
- Environmental and SIA have been completed with respect to the land use and development plan.  
- Public consultations have been conducted with territorial authorities and local residents, relating to economic land concession projects or proposals. | | |
<p>| 5. Avoid, to the maximum extent possible, any restricted access to and physical displacement from protected areas and natural resources. Where avoidance is not possible, ensure that the affected indigenous people communities participate in the design, implementation, and monitoring and evaluation of management arrangements for such areas and natural resources and that their benefits are equitably shared. | ELC sub-decree stipulates requirements that have to be fulfilled, among others, as follows (sub-decree No.146 on ELC, article 4 &amp; 5): There shall be no involuntary resettlement by lawful land holders and access to private land shall be respected. | There are no issues of access restriction and physical displacement from protected areas and natural resources envisaged under CFAVCP. |
| 6. Prepare an IPP that is based on the SIA with the assistance of qualified and experienced experts and that draws on indigenous knowledge and participation by the affected indigenous peoples. The IPP includes a framework for continued consultation with the affected indigenous people. | No provision of the government on preparation of Indigenous Peoples’ Development Plan (IPDP) | Where there are ethnic minority households and communities amongst the subproject beneficiaries who are impacted by any proposed subproject, an EMDP shall be prepared based upon application of this Framework. Under the CFAVCP, consultants will be recruited to |</p>
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<td>communities during project implementation; specifies measures to ensure that indigenous peoples receive culturally appropriate benefits; identifies measures to avoid, minimize, mitigate, or compensate for any adverse project impacts; and includes culturally appropriate grievance procedures, monitoring, and evaluation arrangements, and a budget and time-bound actions for implementing the planned measures.</td>
<td>No provision of the government on IPDP disclosure.</td>
<td>assist the EMDP preparation, implementation, and monitoring.</td>
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<td>7. Disclose a draft IPP, including documentation of the consultation process and the results of the SIA in a timely manner, before project appraisal, in an accessible place and in a form and language(s) understandable to affected indigenous people communities and other stakeholders. The final IPP and its updates will also be disclosed to the affected indigenous people communities and other stakeholders.</td>
<td>Any EMDP prepared will be disclosed before subproject appraisal and in the languages of the local ethnic minorities, within the community. Any updates or changes to the final EMDP must be disclosed and accepted by the community.</td>
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<td>8. Prepare an action plan for legal recognition of customary rights to lands and territories or ancestral domains when the project involves (i) activities that are contingent on establishing legally recognized rights to lands and territories that indigenous peoples have traditionally owned or customarily used or occupied; or (ii) involuntary acquisition of such lands.</td>
<td>Recognition and certification of lands among indigenous peoples are ongoing with the issuance of the 2009 Sub-Decree on Procedures of Registration of Lands of Indigenous Communities.</td>
<td>CFAVCP focuses on value chain strengthening and in areas used for commercial agriculture by Khmer communities within which some ethnic minority households may reside. CFAVCP is not involved in land use zoning or planning in areas traditionally owned, used, or occupied by ethnic minorities. There are no impacts on customary rights to land.</td>
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<td>9. Monitor implementation of the IPP using qualified and experienced experts; adopt a</td>
<td>No regulation of the government on preparation or monitoring</td>
<td>Due to the limited expected impacts on ethnic minorities, the CFAVCP will conduct</td>
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### 30. The Law on Forestry (2002): All projects for public and forest road construction within the Permanent Forest Reserves shall be subject to consultation with local authorities and communities and an Environmental & SIA pursuant to Article 4 of this law. These do not however stress the need for culturally appropriate/sensitive approaches.

### 31. The existing policies do not require the consent of IPs for commercial exploitation of their culture and knowledge, their physical relocation from their traditional land, or the commercial development of natural resources on their traditional land. However, as a signatory to the UN Declaration on the Rights of Indigenous Peoples (UNDRIP), IPs may raise such issues and the necessary grievance procedures may take place.

### III. SUBPROJECT SCOPING AND SCREENING

32. During project preparation, and under Output 1, three subprojects were screened and selected for detailed study and feasibility. These three subprojects are (i) irrigation water distribution improvement in Angkor Chey District, Kampt province, Tani Commune, and Trapang Run village; (ii) drip irrigation for mango plantations in Prey Kdouch village, Takeo province, Tram Kok district, and Trapang Kranhoun commune; and (iii) cooperative value chain improvement for cassava storage in Seda Commune, Seda Senchey, Sedasean Chey Village, Tambae District, and Tbong Khmum province. Based upon field visits to target communities and beneficiary groups, and in conjunction with discussions with village leaders and commune officials, the feasibility studies conducted ascertained no such ethnic minorities present in either of the subproject areas.

33. Although no indigenous people/ethnic minority households were found to be living in the subproject communities studied under the PPTA, this categorization has been made due to the presence of some ethnic minority households and communities in project provinces, and as a sector project, it is possible that subprojects identified during project implementation may include ethnic minority households. The Indigenous Peoples’ Impact Categorization screening checklist used in subproject screening during project preparation is detailed in Appendix 1, and this checklist will be further used during project implementation and the screening of additional subprojects. Where ethnic minority households are found to be directly or indirectly impacted by any subproject to be identified during CFAVCP implementation, an EMDP must be prepared by the project’s safeguards specialists.

34. As implementation proceeds under the CFAVCP, additional subprojects will be identified and taken to feasibility study. The ethnic minority impact categorization screening checklist
should be included in the feasibility study document prepared. Subproject selection shall ascertain the following:

(i) The subproject will provide what specific benefits to ethnic minorities where they are part of subproject target communities and involved in the value chain activity being strengthened;

(ii) The project will not impinge on ethnic minorities’ traditional socio-cultural and belief practices (e.g., child-rearing, health, education, arts, and governance);

(iii) The project will not affect the livelihood systems of ethnic minorities (e.g., food production system, natural resource management, crafts and trade, employment status);

(iv) The project will be in an area (land or territory), part or wholly occupied, owned, or used by ethnic minorities;

(v) The project will not promote any of the following activities without broad community support:
   a. commercial development of the cultural resources and knowledge of ethnic minorities;
   b. physical displacement from traditional or customary lands;
   c. commercial development of natural resources (such as minerals, hydrocarbons, forests, water, hunting, or fishing grounds) within customary lands under use that would impact the livelihoods or the cultural, ceremonial, spiritual uses that define the identity and community of ethnic minorities.

(vi) The project will not promote any of the following activities without an action plan prepared in accordance with the ADB SPS special requirements for such:
   a. establishing legal recognition of rights to lands and territories that are traditionally owned or customarily used, occupied, or claimed by ethnic minorities; and
   b. acquisition of lands that are traditionally owned or customarily used, occupied, or claimed by ethnic minorities.

A. Social Impact Assessment

35. Where a subproject will impact on ethnic minorities, SIA must be undertaken as this will assist in guiding implementation methodology and also improve targeting and impact monitoring. Through the SIA in each subproject will identify key project stakeholders, beneficiaries, and ethnic minority groups and undertake a culturally appropriate and gender-sensitive process for meaningful consultation. The project safeguard staff will carry out a SIA for each subproject, to determine the impacts on ethnic minorities and prepare an EMDP in conjunction with the feasibility study. The subproject’s potential social impacts and risks will be assessed to include those required for ethnic minority safeguards. Social assessments and consultations with ethnic minority communities should be carried out before investment designs are finalized.

36. The SIA will be conducted in a gender-sensitive manner in consultation with ethnic minorities through the use of male and female enumerators with local language capacity when needed ensuring household interviews are conducted with husband and wife, and the use of women’s focal groups using female facilitators. Meetings and interview times must be held at times that are convenient for women as well as men and the project will ascertain these times from the community.

37. The SIA will (i) establish the baseline socioeconomic profile of ethnic minorities in the project area and the project impact zone; (ii) assess access and opportunities to avail of basic
social and economic services; (iii) determine the short- and long-term, direct and indirect, and positive and negative impacts of the project on each group’s social, cultural, and economic status; (iv) assess and validate which indigenous people will trigger the ADB SPS principles; and (v) assess subsequent approaches and resource requirements for addressing the various concerns and issues of projects that affect them. An EMDP in conjunction with the subproject feasibility study will be prepared if impacts on ethnic minorities are established.

38. Whether potential effects on indigenous people are positive or negative, each subproject will prepare a SIA that will:
   (i) Clearly identify and state the positive and negative benefits that will be received by the ethnic minorities as a result of participation in the subproject;
   (ii) Provide a baseline socioeconomic profile of the ethnic minority groups in the subproject area. Baseline information will include ethnicity and sex disaggregated data on demographic, social, cultural, and wealth status (poverty levels) characteristics of the affected ethnic minority communities;
   (iii) Identify the land and territories that ethnic minorities have traditionally owned or customarily used or occupied, and the natural resources on which they depend;
   (iv) Assess their access to and opportunities to avail themselves of basic social and economic services, with a particular focus on gender inequalities in access and opportunities and how this will affect benefiting from the project;
   (v) Include a gender-sensitive assessment of the affected ethnic minority perceptions about the project and its impact on their social, economic, and cultural status. A gender-sensitive analysis is critical to the determination of potential adverse impacts, relative vulnerability and risks to the affected ethnic minority communities given their particular circumstances and lack of access to opportunities relative to those available to other social groups;
   (vi) Assess the potential adverse and positive effects of the subproject. These should be assessed for the short- and long-term, direct and indirect, and positive and negative impacts of the project on each group’s social, cultural, and economic status;
   (vii) Assess and validate which ethnic minority groups will trigger the ethnic minority safeguards requirements; and
   (viii) Identify and recommend measures necessary to avoid adverse effects or, if such measures are not possible, identifies measures to minimize, mitigate, and/or compensate for such effects. Such measures must ensure that indigenous people receive culturally appropriate benefits under the project.

39. The suggested contents, data needed and proposed methods in preparing a SIA for subprojects is shown in Appendix 3.

40. To conclude, the subproject screening criteria will exclude any subproject with significant impacts for involuntary resettlement and ethnic minorities. During project implementation, any additional subprojects identified will be reviewed for IEM impacts. The review will be conducted through field visits to the subproject areas and through meetings convened with subproject beneficiary groups and communities (refer to Appendix 3 for detailed methodology and data requirements). All negative impacts (temporary and permanent) will be minimized through subproject design and consultation with communities in target areas and other stakeholders. As indicated in the screening checklist in Appendix 1, the project will be classified as category B for ethnic minorities due the presence of ethnic minority communities in the target provinces and the possibility that future subprojects may include EM households as beneficiaries.
IV. ETHNIC MINORITY PEOPLES PLANNING

41. By initial screening, if a subproject has potential impacts on ethnic minorities, the EMDP will respond to the issues identified in the SIA and through consultations and will set out the measures whereby the project implementers will ensure that:
   (i) affected indigenous people receive culturally appropriate social and economic benefits;
   (ii) when potential adverse impacts on ethnic minorities are identified, these will be avoided to the maximum extent possible;
   (iii) where this avoidance is proven to be impossible, based on meaningful consultation with ethnic minority communities, the EMDP will outline measures to minimize, mitigate, and compensate for the adverse impacts; and
   (iv) affected ethnic minorities can participate actively in projects that affect them.

42. The CFAVCP safeguard experts will prepare the planning documents through meaningful consultation with affected groups to assist the government in fulfilling the above.

43. The level of detail and comprehensiveness of EMDPs will vary depending on the specific subproject and the nature of impacts to be addressed. The critical aspect is the identification of positive and negative impacts and ensuring meaningful participation and effective mitigation measures.

44. If ethnic minorities are the sole or the overwhelming majority of direct subproject beneficiaries, and when only positive impacts are identified, the elements of an EMDP could be included in the overall subproject design rather than preparing a separate EMDP. In such cases, the subproject document will include a summary of how the subproject complies with the ethnic minority safeguards. In particular, it will explain how the requirements for meaningful consultation are fulfilled and how the accrual of benefits has been integrated into the subproject design. If a subproject only poses involuntary resettlement impacts on ethnic minorities, combined resettlement and ethnic minority plans will be prepared. Otherwise, the recommended outline for an EMDP is shown in Appendix 4.

45. Particularly in respect to, although not limited to, irrigation subprojects, upon completion of detailed engineering design and detailed measurement surveys, the EMDP will be updated and include an implementation schedule that is coordinated with investment implementation. Mitigating measures to avoid adverse impacts on ethnic minorities and measures to enhance culturally appropriate development benefits will be adjusted, but the agreed outcomes as specified in the draft EMDP will not be lowered or minimized. If new groups of ethnic minorities are identified prior to submission of the final EMDP, meaningful consultation will be undertaken with them also.

A. Table of Project Impacts

46. Ethnic minority households could be directly impacted by CFAVCP subprojects under several different modalities as: (i) landholders on an irrigation scheme being rehabilitated; (ii) members of an agricultural cooperative seeking support for drying and storage facilities; (iii) as trainees at agriculture extension, training and development centers; (iv) recipients and users of improved crop varieties; and (v) households installing and using bio-digesters, amongst other activities undertaken by the project.
Based upon the CFAVCP design and the type of subprojects identified, the following potential impacts for ethnic minority households have been identified.

### Table 2: Project Impacts

<table>
<thead>
<tr>
<th>Output</th>
<th>Activity</th>
<th>Positive Impact on Beneficiaries</th>
<th>Negative Impact</th>
<th>Issues Affecting Ethnic Minority Groups</th>
</tr>
</thead>
</table>
| Output 1: Critical agribusiness value chain infrastructure improved and made climate resilient | Activity 1.1: Climate resilient water management infrastructure. | • Increased land value due to improved infrastructure.  
• Efficient irrigation services.  
• Enhanced distribution networks.  
• Improved water supply will allow better crop diversification.  
• Substantially higher yields (with estimates varying between 0.5 tons and 1.5 additional tons per hectare. expansion of cultivated areas,  
• Increased number of crops per year.  
• Reduced pumping costs to individual farmers by 30 to 50%.  
• Improved drainage canals also serve as drainage in case of floods.  
• Reduced time collecting domestic use water, and improved water quality over existing arrangements.  
• Improved household incomes and improved critical production and post-harvest infrastructure.  
• Improved supply chain linkages to the trader or processor.  
• Reducing energy costs by promoting bio-energy.  
• Improving market connectivity.  
• Improved testing and diagnostic services.  
• Improved repair and maintenance of agri-machinery.  
• Reduced migration to the cities  
• Improved agri-technical support services available to farmers.  
• Genetically modified organism analytic capability  
• Capacity to undertake quality analysis of organic and bio-fertilizers.  
• Cassava tissue TC capability to support private sector enterprises in developing TC | Acquisition of small narrow strips of land for irrigation infrastructure – mitigated through community demand and voluntary land donation subject to stringent criteria. | Most ethnic minorities in project households engage in fishing or trading rather than irrigated agriculture.  
Some ethnic minorities are not granted Khmer nationality so cannot receive land titling.  
Lack of citizenship is also a barrier in obtaining credit and bank loans.  
Some ethnic minorities are not permitted entrance to Cambodian schools or colleges unless these are private.  
Ethnic minorities can be expected to have less language capacity, oral and written, and may need explanatory material in e.g., Vietnamese.  
Lack of |
<table>
<thead>
<tr>
<th>Output</th>
<th>Activity</th>
<th>Positive Impact on Beneficiaries</th>
<th>Negative Impact</th>
<th>Issues Affecting Ethnic Minority Groups</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>• Rapid testing for pesticide residue and plant toxins as part of risk management procedures.</td>
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<td>citizenship may also be a barrier in registration of Agricultural Cooperatives.</td>
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<td></td>
<td></td>
<td>• Improve rural livelihoods by creating employment for skilled masons.</td>
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<tr>
<td></td>
<td></td>
<td>• Use of bio-slurry for fertilizers improving fertility and reducing need to buy fertilizers.</td>
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<td></td>
<td></td>
<td>• Training and improved employment prospects in rural areas.</td>
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<td></td>
<td></td>
<td>• Training skills include (i) repair and maintenance of agricultural machinery; (ii) repair and maintenance of electric water pumps; (iii) water management practices on irrigation schemes; (iv) spray operation and operator safety; and (v) storage and drying equipment operation maintenance and repair.</td>
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<td></td>
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<td>• Reduced need to burn wood, charcoal, gas or electricity for domestic use.</td>
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<td></td>
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<td>• Reduced need to collect or purchase solid fuels.</td>
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<td></td>
<td></td>
<td>• Reduced exposure to harmful emissions from solid biomass fuels.</td>
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<tr>
<td>Output 2: Climate smart agriculture and agribusiness promoted for key value chains</td>
<td>Activity 2.1: Climate resilient varieties developed and disseminated.</td>
<td>• Climate resilient rice and maize varieties released for commercial production giving improved yields and incomes.</td>
<td>No negative impacts</td>
<td>Lack of citizenship is also a barrier in obtaining credit and bank loans.</td>
</tr>
<tr>
<td></td>
<td>Activity 2.2: Capacity in climate friendly production practices and technologies enhanced.</td>
<td>• Training in CSA available and trainer teams established.</td>
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<tr>
<td></td>
<td>Activity 2.3: Farm mechanization and extension through mechanical workshops and</td>
<td>• Improved resilience to climate change.</td>
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<tr>
<td></td>
<td></td>
<td>• Increased availability of mechanization and increased employment for operators.</td>
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<td></td>
<td></td>
<td>• Training to co-ops and FWUCs to better manage operations and improved business acumen</td>
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<tr>
<td></td>
<td></td>
<td>• Increased range of CSA practices available.</td>
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<tr>
<td></td>
<td></td>
<td>• Improved access to CSA technology.</td>
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<tr>
<td></td>
<td></td>
<td>• Improved farm efficiencies with mechanization.</td>
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<td></td>
</tr>
<tr>
<td>Output</td>
<td>Activity</td>
<td>Positive Impact on Beneficiaries</td>
<td>Negative Impact</td>
<td>Issues Affecting Ethnic Minority Groups</td>
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<tr>
<td></td>
<td>training facilities</td>
<td>• Increased availability of mechanization and increased employment for operators.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Output 3: Enabling environment for climate smart agribusiness enhanced</td>
<td>Activity 3.1: Climate friendly agribusiness policies and standards</td>
<td>• Training in improved production and product standards. • Identifying key investment strategies in public resources to enhance agribusiness growth. • Improved linkages in value chain actors. • Development of good infrastructure so that Cambodia business has a comparative and competitive advantage with its regional rivals. • Developed institutional and legal framework conducive to supporting and assisting agribusiness and removal of existing barriers. • Product standards established to enhance marketability and access to export markets leading to improved prices for produce. • Improved access to credit. • Income protection from crop insurance. • Improved marketability of produce. • Increased number of PPPs providing increased employment opportunities.</td>
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<tr>
<td></td>
<td>Activity 3.2: Green finance and risk sharing mechanisms</td>
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<td></td>
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</tr>
<tr>
<td></td>
<td>Activity 3.3: Information and communication technology to support climate risk management</td>
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</tbody>
</table>

B. Indigenous People/Ethnic Minority Development Framework Recommendations

48. Given the CFAVCP outputs and activities and in reference to the impacts identified above, it is anticipated that the main EMDP needs will be to address issues concerning inclusion and participation, and particularly consultation and dissemination. It is therefore expected that the following activities and recommendations will be a common factor in the EMDPs prepared for CFAVCP subprojects. The following indicative activities have been found necessary in other projects involving ethnic minorities and their application will be confirmed and elaborated during EMDP preparation.

Table 3: Indicative Indigenous Peoples’ Plan Activities

<table>
<thead>
<tr>
<th>Project Output</th>
<th>Activity</th>
<th>Recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Output 1: Critical agribusiness value</td>
<td>• Activity 1.1: Climate resilient water</td>
<td>• Check with local authorities regarding Khmer language capacity prior to</td>
</tr>
<tr>
<td>Project Output</td>
<td>Activity</td>
<td>Recommendations</td>
</tr>
<tr>
<td>---------------</td>
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</tr>
</tbody>
</table>
| chain infrastructure improved and made climate resilient | management infrastructure.  
Activity 1.2: Agricultural cooperative value chain infrastructure enhanced.  
Activity 1.3: Improved connectivity through resilient rural connector roads.  
Activity 1.4: Infrastructure for agricultural quality and safety testing at national level.  
Activity 1.5: Renewable energy for value chain improvement. | conducting village consultation and meetings.  
Use separate ethnic group meetings if preferred by ethnic minorities in multi-ethnic village.  
Use local translators to assist in consultation and planning meetings, deliver training, and ensure ethnic minority community understands issues, concepts, and requirements.  
Use separate men and women’s discussion groups to identify priority infrastructure needs and benefits to both men and women.  
In villages of mixed ethnicity ensure separate additional indigenous people/ethnic minority focal group meetings to identify priorities in the selection of infrastructure needs and also to identify options for infrastructure design, management and O&M.  
Ensure consultation with both ethnic minority women and men and include in any surveys according to the level of ethnic minority representation in the community.  
Ensure open village meetings held to select infrastructure investments are transparent, each household has equal voting rights regardless of ethnicity.  
Ensure ethnic minority households participate in selection meetings.  
Ensure that infrastructure selections provide benefits to all households and not to exclusion of ethnic minorities.  
Ethnic minorities are provided equal training opportunities as mainstream Khmer.  
Entrance to technical training courses should not insist on Khmer citizenship where ethnic minority individuals are born in Cambodia and can read and write Khmer.  
Non-citizen ethnic minorities will require different guarantor and collateral arrangements than Khmer in order to apply for financial assistance.  
Technical support available in ethnic |
| Output 2: Climate smart agriculture and agribusiness promoted for value key value chains | Activity 2.1: Climate resilient varieties developed and disseminated.  
Activity 2.2: Capacity in climate friendly production practices and technologies enhanced.  
Activity 2.3: Farm mechanization and extension through mechanical workshops and training facilities. | |
| Output 3: Enabling environment for climate smart agribusiness enhanced | Activity 3.1: Climate friendly agribusiness policies and standards  
Activity 3.2: Green finance and risk sharing mechanisms  
Activity 3.3: Information and communication technology to support climate risk management | |
C. Stakeholder Consultations and Participation

49. Meaningful consultation with ethnic minorities will be ensured through the use of culturally appropriate communication strategies and use of local language where needed. Although most ethnic minorities in the project provinces will have some Khmer language capacity it may be determined that ethnic minorities in specific target areas need translation assistance. Sufficient resources (human and financial resources) will have to be incorporated in the EMDP to ensure meaningful consultation with affected ethnic minority communities.

50. The table below indicates the definitive points for stakeholder participation across the project cycle under CFAVCP. The consultation plan will be undertaken to ensure informed participation in all facets of the project cycle. Timely disclosure of relevant and adequate information will be made that is understandable and readily accessible to affected people/gender, in an atmosphere free of intimidation or coercion. The use of separate focal discussion groups, separated by gender and ethnicity is encouraged in cases where subprojects are being implemented in communities of mixed ethnicity.

<table>
<thead>
<tr>
<th>Stage</th>
<th>Stakeholders</th>
<th>Activity</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Subproject identification</td>
<td>Executing agency Ministry level</td>
<td>Government and agency meetings to explain need for safeguards, agree on selection criteria.</td>
<td>Agreement on objectives, priorities.</td>
</tr>
<tr>
<td></td>
<td>Provinical and district level</td>
<td>Scoping – visiting potential sites, physical inspection.</td>
<td>Agreement on subproject selection criteria.</td>
</tr>
<tr>
<td></td>
<td>Implementing agency at provincial and district level</td>
<td>Meetings and briefings with provincial and district agencies.</td>
<td>Indicative development priorities for community.</td>
</tr>
<tr>
<td></td>
<td>Commune and village authorities</td>
<td>Meetings with commune and village authorities.</td>
<td>Identification of problems and issues.</td>
</tr>
<tr>
<td></td>
<td>Target beneficiary households</td>
<td>Meetings with target beneficiaries.</td>
<td>Basic design needs.</td>
</tr>
<tr>
<td></td>
<td>Members of vulnerable or minority groups</td>
<td></td>
<td>Records of community participation disaggregated by sex and ethnicity.</td>
</tr>
<tr>
<td></td>
<td>Project technical assistance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Subproject preparation</td>
<td>Executing agency Ministry level</td>
<td>Meetings with provincial, district, commune, village official level to explain project preparation process,</td>
<td>Data for preparation of socio-economic profiles.</td>
</tr>
<tr>
<td></td>
<td>Provinical and district level</td>
<td></td>
<td>Needs and constraints</td>
</tr>
<tr>
<td>Stage</td>
<td>Stakeholders</td>
<td>Activity</td>
<td>Outcomes</td>
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<tr>
<td></td>
<td>Implementing agency at provincial and district level</td>
<td>data requirements, participatory methods, consultation process and need for indigenous people /ethnic minority safeguards. Open village meeting to explain purpose and process of consultations. Field level data collection – socio-economic data and surveys. Household level and focal discussion group meetings to identify needs – includes meetings with indigenous people /ethnic minority households and gender separate focal discussion groups. Focused data collection from indigenous people /ethnic minority households. Discuss proposed project design. Obtain feedback, determine level of support. Update briefings for provincial and district agencies.</td>
<td>identified. Special considerations identified. Agreement on project focus, objectives, and indicative activities. Identification of gender issues, women’s needs, and priorities. Identification of safeguard needs Identification of needs for information material to be prepared in ethnic minority language. Records of community participation disaggregated by sex and ethnicity.</td>
</tr>
<tr>
<td>3. Subproject appraisal</td>
<td>Executing agency Ministry level</td>
<td>Presentation of proposed project design to community. Present proposals to separate men’s and women’s focal groups for discussion. Separate meetings with affected households and</td>
<td>Agreement on final designs. Agreement on safeguard and mitigation actions. Formal acceptance of project and signing of documents of consent</td>
</tr>
<tr>
<td>Stage</td>
<td>Stakeholders</td>
<td>Activity</td>
<td>Outcomes</td>
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<tr>
<td></td>
<td>executing agency</td>
<td>members of indigenous people/ethnic minority households.</td>
<td>where needed.</td>
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<tr>
<td></td>
<td>Commune and village authorities</td>
<td>Discussion of safeguard issues and proposed mitigation. Disclosure meeting/consultation with affected households to discuss results of social impact assessment.</td>
<td>Agreement on women’s needs and priorities to be included in the gender action plan.</td>
</tr>
<tr>
<td></td>
<td>Target beneficiary households</td>
<td></td>
<td>Records of community participation disaggregated by sex and ethnicity.</td>
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<tr>
<td></td>
<td>Members of vulnerable or minority groups</td>
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<tr>
<td></td>
<td>Project technical assistance</td>
<td></td>
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<tr>
<td>4. Subproject implementation and monitoring</td>
<td>Executing agency Ministry level</td>
<td>Meetings to prepare final detailed engineering designs. Incorporation of community comments and changes needed. Presentation to and acceptance by community of detailed designs and updated IPPs and Land acquisition and resettlement plan. Community meetings to include separate meetings with indigenous people/ethnic minority households and focal group. Ongoing focal group meetings to monitor implementation progress – separate indigenous people/ethnic minority group meetings where needed.</td>
<td>Any written public information materials to be prepared and distributed – includes ethnic minority language if needed. Finalization of consent documents. Finalized detailed engineering designs. EMDP and Land acquisition and resettlement plan finalized. Feedback on implementation progress, issues and constraints. Additional capacity building needs identified. Records of community participation disaggregated by sex and ethnicity.</td>
</tr>
<tr>
<td></td>
<td>Executing agency provincial and district level</td>
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<td></td>
<td>Implementing agency at provincial and district level – if different from executing agency</td>
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<td></td>
<td>Commune and village authorities</td>
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<td></td>
<td>Target beneficiary households</td>
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<td></td>
<td>Members of vulnerable or minority groups</td>
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<td></td>
<td>Project technical assistance</td>
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<tr>
<td>5. Subproject completion and evaluation</td>
<td>Executing agency Ministry level</td>
<td>Meetings with commune and village officials to discuss benefits and issues. Focal group meetings to identify benefits received.</td>
<td>Feedback on implementation progress, issues, and constraints. Suggestions for future improvements</td>
</tr>
<tr>
<td></td>
<td>Executing agency provincial and district level</td>
<td></td>
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<tr>
<td></td>
<td>Implementing agency at</td>
<td></td>
<td></td>
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<tr>
<td>Stage</td>
<td>Stakeholders</td>
<td>Activity</td>
<td>Outcomes</td>
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</tr>
<tr>
<td></td>
<td>provincial and district level – if different from executing agency.</td>
<td>implementation issues, and improvements needed.</td>
<td>Records of community participation disaggregated by sex and ethnicity.</td>
</tr>
<tr>
<td></td>
<td>Commune and village authorities</td>
<td>Separate indigenous people/ethnic minority focal group meetings where needed.</td>
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<tr>
<td></td>
<td>Target beneficiary households</td>
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<tr>
<td></td>
<td>Members of vulnerable or minority groups</td>
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<td></td>
<td>Project technical assistance</td>
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</tbody>
</table>

D. **Documentation of the Consultation Process**

51. Documentation of consultation meetings is important and must be attended to and the following data should be recorded as a minimum:

   (i) Context of the gathering (consultation or any activity initiated by or for CFAVCP - reason for the activity, where, when, who are present.

   (ii) Record what is being said, questions asked, issues raised, and by whom as well as the response of project personnel – disaggregated by gender and ethnicity.

   (iii) Note if any particular interest group attempts to dominate discussions.

   (iv) If necessary, separate leadership or influential persons from the focal discussion group and consider forming a specific “leadership” discussion group in order that influence on other persons during discussions is mitigated.

   (v) Ensure records are taken of the date of the meetings and of who participated – and disaggregate by gender and ethnicity.

E. **Addressing Gender Disparities**

52. Important differences in roles between women and men, or other gender norms, may have a significant bearing on the subproject. Because gender disparities usually result in women and men having different needs, demands, and constraints, it is crucial to identify them early in the design process before key decisions are made. If these differences are ignored, the prospects for success of the project may be adversely affected, and women may not have the opportunity to benefit from the project on equal terms with men. Social norms related to gender roles frequently result in:

   (i) gender-based inequality in access to and control of key resources;

   (ii) unequal opportunities for women and men in areas such as education, mobility, and public decision making; and

   (iii) formal or informal discrimination against women in areas such as inheritance, ownership and registration of land, access to credit, and employment.

53. The consultation plan outlined above includes discussions with separate women’s groups as well as consultation with women at the household level in order to identify the specific needs and priorities of women in the community. This information is used in conjunction with the SIA as well as the project Gender Action Plan to formulate activities to address needs and mitigate constraints.
V. GRIEVANCE REDRESS MECHANISMS

54. The mechanism to receive and facilitate resolution of the affected indigenous peoples’ or ethnic groups’ concerns, complaints, and grievances is provided, and ethnic communities will be appropriately informed about such mechanism. A culturally appropriate, gender responsive, and accessible mechanism will be formulated but shall not impede access to the country’s judicial or administrative remedies. The village chiefs and Commune Councils play important roles in conflict mediation as well as disseminating relevant laws and policies. Community elders are a particularly relevant institution in ethnic minority communities. These indigenous structures will be tapped by the project for grievance redress.

55. The grievance redress process includes five stages:

(i) **First stage**: Complaints and grievances will be provided verbally or in writing to the village chief and the village elders. If the issue cannot be resolved following limited discussion at village level within 10 days, the grievance will be formalized. If the grievance is brought forward by a woman complainant, the elders’ representation must include other women.

(ii) **Second stage**: The grievance is referred in writing by the village chief to the commune chief. The receiving agent will provide immediate written confirmation of receiving the complaint. If after 15 days the complainant does not hear from the village and commune chiefs, or PIU staff, or if he/she is not satisfied with the decision taken in the first stage, the complaint may be brought to the district office.

(iii) **Third stage**: The district office has 15 days within which to resolve the complaint to the satisfaction of all concerned. If the complaint cannot be solved at this stage, the district office will bring the case to the Provincial Grievance Redress Committee (PGRC).

(iv) **Fourth stage**: The PGRC meets with the aggrieved party and tries to resolve the situation. The PGRC must ensure that local translation is available if the case involves indigenous people/ethnic minorities who do not have sufficient Khmer language skills. Within 30 days of the submission of the grievance, the committee will make a written decision and submit copies to the executing agency, including Inter Ministerial Resettlement Committee if it involves land acquisition, and implementing agencies.

(v) **Fifth stage**: If the aggrieved affected household does not hear from the PGRC or Inter Ministerial Resettlement Committee, or is not satisfied, he/she can bring the case to the provincial court. The court will make a written decision and submit copies to the executing agency and implementing agencies. If any party is still unsatisfied with the Provincial Court judgment, he/she can bring the case to a higher-level court.

56. All costs involved in resolving the complaints, meetings, consultations, communication and reporting/information dissemination, will be borne by the project.

57. Safeguard monitoring reports will include the following aspects pertaining to progress on grievances: (i) number and types of cases registered with the grievance redress committee, level of jurisdiction (1st, 2nd, 3rd, 4th, and 5th tiers), number of hearings held, decisions made, and the status of pending cases; and (ii) lists of cases in process and already decided upon may be prepared with details such as name, ID with unique serial number, date of notice, date of
application, date of hearing, decisions, remarks, actions taken to resolve issues, and status of grievance (i.e. open, closed, pending).

58. If efforts to resolve disputes using the grievance procedures remain unresolved or unsatisfactory, affected households have the right to directly discuss their concerns or problems with the ADB’s Environment, Natural Resources and Agriculture Division, Southeast Asia Department through the ADB Cambodia Resident Mission. If households are still not satisfied with the responses of ADB Cambodia Resident Mission, they can directly contact the ADB Office of the Special Project Facilitator. The Office of the Special Project Facilitator procedure can proceed based on the accountability mechanism in parallel with the project implementation.

VI. CFAVCP INSTITUTIONAL ARRANGEMENTS

A. National Level

59. The Ministry of Economy and Finance (MEF) is the official representative of the government as the borrower and recipient of funds. It is the responsibility of MEF to (i) fulfill government fiduciary and financial management oversight; (ii) to provide sufficient counterpart contribution for project activities in a timely manner; and (iii) ensure delays are not encountered in project procurement. Funds flow will be the responsibility of MEF and will work closely with the executing agency.

60. MAFF will be the executing agency and will be responsible for overall project management, coordination, and reporting. MAFF will establish a project management unit (PMU); it is proposed that the PMU can be the existing SPS GMS Trade Facilitation Project PMU, using some of the existing management personnel and resources but with additional recruitment in key positions, such as those officials that will have monitoring and evaluation, procurement, safeguards and accounting responsibilities.

61. The PMU will have the responsibility for the day to day management, coordination and supervision of the project, as well as consultant recruitment, financing and fund flow and the oversight of safeguard issues and measures. MEF will channel funds to the PMU imprest account and the PMU will disperse on to the Ministry of Water and Meteorology, Ministry of Rural Development and to each participating designated account. The parent ministries will release the funds to their respective provincial designated account for payments.

62. The national level coordination will also be assisted by a project steering committee which will be chaired by the Minister of MAFF with representatives from MEF, Ministry of Water Resources and Meteorology, Ministry of Industry and Handicrafts, MRD, Ministry of Commerce and Ministry of Environment. In order that decisions are made quickly it is recommended that the various steering committee members will be at the level of Undersecretary of State or above. The steering committee may invite persons and agencies to discuss specific agenda items, when required. For effective decision making no more than 20 persons shall attend at any one meeting.

63. The parent ministries of the participating provincial departments which are Ministry of Water Resources and Meteorology and MRD will be requested to nominate focal points that will have a central level coordinating role.

64. A PPP IMC will be formed and chaired by MEF and will have a maximum 10 representatives purely to review potential PPP agribusiness projects and will meet once every 2
months. The private sector related to the value chains will have an input through the business forums, federations and associations that will provide feedback and information to the proposed PPP IMC and on to the steering committee. The forums, federations, and associations can circumvent the IMC for non-PPP initiatives.

65. The climate smart agribusiness policy activity will be led by the working group that comprises of representatives from the MAFF, MEF, MOC, Ministry of Industry and Handicrafts, and Ministry of Environment. MEF will also have an input with respect to crop insurance and green finance initiatives. As MEF is the executing agency of the ADB Rice Commercialization project which has sponsored a feasibility study on how best to approach and implement crop insurance activities, MEF will also be required to provide assistance to the crop insurance initiative. MEF is also working on and being supported by ADB on PPP initiatives.

66. The Cambodia Agricultural Research and Development Institute will be responsible for the climate resilient variety development activities, but when it comes to field demonstrations and trails will coordinate fully with the PDAFF.

67. The project implementation consultants and other technical specialist as well as service providers including government staff as resource persons will carry out a range of capacity building and training activities, as well as pilot demonstrations and detailed engineering designs.

B. EMDP Implementation Arrangements

68. As mentioned, the Department of Ethnic Minority Development at MRD has the national mandate for indigenous people in Cambodia (a total of 56 indigenous people groups have been recognized as legal indigenous people groups), but not ethnic minorities. The Department’s role is more on the preservation of culture and traditions but is not involved in the vetting of EMDPs, although its provincial agencies can be called upon for assistance in resolving indigenous people issues. The PMU safeguards consultants will be responsible for the preparation and updating of IPPs and these are submitted to MAFF and ADB for approval. The PICs will also provide safeguard training to provincial agency staff. The executing agency will be responsible for implementing the EMDP through its provincial level agencies.

C. Provincial Level

69. Key agencies at provincial level will be the PDAFF, Provincial Department of Water Resources, and the Provincial Department of Rural Development. Provincial agency staff will assist project implementation teams to:

(i) conduct feasibility study, socio-economic surveys, including ethnicity and sex disaggregated data, to understand local indigenous people development issues;
(ii) undertake and document consultation with communities and local ethnic minority groups to determine the appropriate interventions;
(iii) assist in the design of interventions to address identified issues relevant to the overall subproject; and
(iv) play a lead role in the implementation and monitoring of the EMDPs, or the enhancement measures.

D. District and Commune Level

70. Although implementation teams are from provincial agencies, district level staff will compliment provincial teams if and when possible and depending upon local resource conditions. The project implementation teams will work closely with Commune Council officials
as well as village administration officials. The commune and village levels play an important role in coordinating between project and community and will assist in conducting surveys, collecting data, and also assist in arranging appointments with community groups and households as needed.

E. Consultants

71. Implementation will be guided by a consulting team that will include one international and one national safeguard specialists who are assigned specific responsibility for LAR and ethnic minority. Environmental safeguards will be undertaken by an additional specialist. The safeguards specialists are responsible to ensure that subproject screening is carried out correctly and that ethnic minority categorization accords with ADB SPS (2009). Working closely with government staff, the specialists are responsible for formulating any EMDP required and also for ongoing monitoring and reporting on EMDP implementation. It is recommended that the international social safeguard specialist be hired for three months each project year (total 15 months), and the national consultant be hired full time (total 60 months). It is estimated that ethnic minority work would require only 5% of the specialists’ time.

VII. MONITORING AND REPORTING ARRANGEMENTS

72. Internal monitoring is needed to ensure that the EMDP preparation and updating is (i) conducted in a fully consultative process; (ii) disclosed appropriately to affected ethnic minority communities; (iii) being implemented as planned; (iv) updated and adjusted as needed; and (v) regularly reported to the PMU, executing agency and ADB. Due to the small number of ethnic minorities in the project areas and the limited impacts anticipated, the CFAVCP will initially rely on its own internal monitoring procedures. The executing and implementing agencies with assistance from the national and international social safeguards specialists shall conduct the supervision and in-house monitoring of implementation of the EMDP. The national and international safeguard specialists will ensure that the monitoring and reporting is being carried out in accordance with the EMDP. The project technical assistance will conduct safeguards training for line agency staff participating in implementation and this training must include monitoring, data collection, and reporting.

73. The need for an PMU (EMO) will be reviewed during implementation and will depend upon the economy of scale; if there is sufficient need in terms of the number of IPPs prepared under the subproject proposals. If there are only the odd couple of EMDPs prepared and the activities proposed under the EMDP relatively straightforward the PMU may decide to use internal resources only. Otherwise an independent EMO, most likely a non-government organization (NGO) or an independent national consultant could be hired for the task. If an EMO is being hired, the project social safeguard team will prepare appropriate terms of reference for the EMO.

74. Specific ethnic minority targets have not been set for the project design and monitoring framework as there is no way of estimating the number of ethnic minorities that may be involved in CFAVCP subprojects. Although the absolute number is expected to be low, it is possible that all subprojects do not have any ethnic minority beneficiaries.

A. Indicators

75. As a minimum, the CFAVCP must report on the number and type of subprojects that have ethnic minority participants, the number of ethnic minority members and households
participating, the gender of the ethnic minority participants, and also monitor the ethnic minority’s participation in project supported activities and meetings. Other relevant benchmark data obtained from the subproject SIA would also be included, such as income derived from the activity being supported by the project.

76. The types of indicators could include:
   (i) Are EMDP activities being implemented and targets achieved against the agreed time frame?
   (ii) Are there sufficient funds available for implementation of the EMDP? Are consultations with ethnic minority communities completed as scheduled including meetings, groups, and community activities?
   (iii) Were consultations inter-generationally exclusive, gender inclusive, free from external coercion, and conducted in a culturally appropriate manner?
   (iv) Have appropriate project information brochures/hand-outs been prepared and distributed to affected ethnic minority groups/households?
   (v) Have there been any changes in patterns of occupation, production, resource use and waste management compared to the pre-project situation?
   (vi) Have there been any changes in income and expenditure patterns compared to pre-project situation? What are these changes, if any?
   (vii) Has the situation of ethnic minorities improved, or at least been maintained, as a result of the project?
   (viii) Are ethnic minority women reaping the same benefits as ethnic minority men?
   (ix) Do ethnic minority men and women proportionally share any negative impacts?

77. Schedule of Monitoring and Reporting. The EMDP will establish a schedule for the implementation of the EMDP taking into account the project’s implementation schedule and the consultation plan. The EMDP will also indicate the monitoring and reporting schedule required from line agency staff. The safeguards specialists assisting implementation shall ensure that executing agency staffs at provincial level are aware of the EMDP and their monitoring and reporting responsibilities. Where EMDPs are being implemented, a quarterly report must be prepared by the CFAVCP technical assistance for review by the PMU and copied to the ADB. Safeguards activities/implementation progress will also be incorporated in the regular project progress reports submitted to ADB.

78. Final Evaluation. The EMDP will also indicate a process to be followed for end of project evaluation. The process will focus on separate men’s and women’s focal groups, facilitated in local language if needed. The focal groups will identify benefits that they have received issues and constraints encountered during implementation, and also identify means through which project implementation could be improved. It will also report household income levels and specifically income from the activity being supported by the project. This final evaluation is conducted by the project safeguards team and will form part of the project completion report.

VIII. BUDGET AND FINANCING

79. The EMDP provides the line item costs that will be subject to detailed planning and budgeting during implementation at the project and subproject levels. The PMU is responsible for the provision of necessary financing of all EMDP related activities which would include those associated with preparation of the EMDP (e.g., SIA including consultations, required surveys) and then activities and actions required under the IPP. The EMDP will specify funding
requirements for each of the actions in the plan and these will vary according to the needs of each subproject EMDP. Cost estimates provided in the plans must be as detailed as possible, linked to specific activities. The EMDP will focus on costs involved in ensuring participation and inclusion.

80. As mentioned above, the CFAVCP has funds for the hire of international and national social safeguards specialists. Most of the ethnic minority subproject screening, EMDP preparation, staff training and EMDP monitoring will be conducted by this technical assistance. The table below indicates some of the key activities that will need to be costed in each EMDP. A provisional amount of $25,000 has been allocated for EMDP activities and implementation under the CFAVCP (not including the cost of consultants).

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Executing agency and implementing agency training in Safeguard area 3</td>
<td>Training to line agency implementation staff on purpose of ethnic minority safeguards, need for IPP, and process for preparation of EMDP. Monitoring and indicators.</td>
<td>At project start up and before additional subproject feasibility studies are conducted. Conduct as one of event – total cost $2,500</td>
</tr>
<tr>
<td>2. Social Assessment</td>
<td>All communes with ethnic minorities. Training of agency staff in SIA. Conduct SIA and benchmarking.</td>
<td>Ongoing as subprojects are identified but must be before the specific subproject is implemented. Per diems and transportation money needed for provincial agency staff. Allow $250 per IPP.</td>
</tr>
<tr>
<td>3. Preparation of IPP</td>
<td>Use of subproject screening and SIA data.</td>
<td>Prepared by CFAVCP technical assistance</td>
</tr>
<tr>
<td>4. Monitoring of IPPs</td>
<td>Quarterly Monitoring. The PMU will be required to conduct quarterly monitoring of IPP and implementation activities. Final Evaluation. Final evaluation of the implementation of the IPP will be 3 months before project completion.</td>
<td>Built into implementation arrangements and consultants’ terms of reference. PMU to decide if hiring of EMO is required.</td>
</tr>
<tr>
<td>5. Preparation of IEC materials</td>
<td>Preparation of printed explanatory materials in ethnic minority language if needed. Translation and printing.</td>
<td>Ad hoc – as needed. Allow project total of $500 per subproject involving indigenous people/ethnic minorities</td>
</tr>
<tr>
<td>6. Meetings, training and dissemination</td>
<td>Hire of local ethnic minority translators and facilitators to assist in conducting meetings, focal groups, training and information dissemination.</td>
<td>Ad hoc as identified as needed for specific subprojects Allow $10 per resource person per day</td>
</tr>
<tr>
<td>7. Hiring of national consultant for safeguard area 3</td>
<td>Will be combined with safeguard area 2 (RS/LA).</td>
<td>CFAVCP overhead – hired for 60 person-months (full time 5 years). 5% of time for indigenous people/ethnic minority work</td>
</tr>
<tr>
<td>8. Hiring of international</td>
<td>Will be combined with safeguard area 2 (RS/LA).</td>
<td>CFAVCP overhead – hired for 15 person-</td>
</tr>
</tbody>
</table>

Table 5: Budget Line Items for Indigenous People’s Plan Implementation
<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>consultant for safeguard area 3</td>
<td></td>
<td>months (3 month/year for 5 years). 5% of time for indigenous people/ethnic minority work</td>
</tr>
<tr>
<td>9. Contingency</td>
<td>To address unforeseen impacts and other changes identified.</td>
<td>Include an additional 10% of direct IPP costs.</td>
</tr>
</tbody>
</table>

CFAVCP = Climate friendly Agribusiness Value Chains Sector Project, EMO = external monitoring organization, EMDP = ethnic minority development plan, IPP = indigenous people’s plan, SIA = social impact assessment, PMU = project management unit.
### Indigenous People and Ethnic Minority Peoples Impact Screening Checklist for Subprojects

<table>
<thead>
<tr>
<th>KEY CONCERNS</th>
<th>YES</th>
<th>NO</th>
<th>NOT KNOWN</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. Indigenous Peoples Identification</strong></td>
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<td></td>
</tr>
<tr>
<td>1. Are there socio-cultural groups present in or use the project area who may be considered as “tribes” (hill tribes, schedules tribes, tribal peoples), &quot;minorities&quot; (ethnic or national minorities), or &quot;indigenous communities&quot; in the project area?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>2. Are there national or local laws or policies as well as anthropological researches/studies that consider these groups present in or using the project area as belonging to &quot;ethnic minorities&quot;, scheduled tribes, tribal peoples, national minorities, or cultural communities?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Do such groups self-identify as being part of a distinct social and cultural group?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Do such groups maintain collective attachments to distinct habitats or ancestral territories and/or to the natural resources in these habitats and territories?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>5. Do such groups maintain cultural, economic, social, and political institutions distinct from the dominant society and culture?</td>
<td></td>
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<tr>
<td>6. Do such groups speak a distinct language or dialect?</td>
<td></td>
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<tr>
<td>7. Has such groups been historically, socially and economically marginalized, disempowered, excluded, and/or discriminated against?</td>
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</tr>
</tbody>
</table>
### Key Concerns

<table>
<thead>
<tr>
<th>8. Are such groups represented as “Indigenous Peoples” or as “ethnic minorities” or “scheduled tribes” or “tribal populations” in any formal decision-making bodies at the national or local levels?</th>
<th>YES</th>
<th>NO</th>
<th>NOT KNOWN</th>
<th>Remarks</th>
</tr>
</thead>
</table>

### B. Identification of Potential Impacts

<table>
<thead>
<tr>
<th>9. Will the project directly or indirectly benefit or target Indigenous Peoples?</th>
<th>YES</th>
<th>NO</th>
<th>NOT KNOWN</th>
<th>Remarks</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>10. Will the project directly or indirectly affect Indigenous Peoples’ traditional socio-cultural and belief practices? (e.g. child-rearing, health, education, arts, and governance)</th>
<th>YES</th>
<th>NO</th>
<th>NOT KNOWN</th>
<th>Remarks</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>11. Will the project affect the livelihood systems of Indigenous Peoples? (e.g., food production system, natural resource management, crafts and trade, employment status)</th>
<th>YES</th>
<th>NO</th>
<th>NOT KNOWN</th>
<th>Remarks</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>12. Will the project be in an area (land or territory) occupied, owned, or used by Indigenous Peoples, and/or claimed as ancestral domain?</th>
<th>YES</th>
<th>NO</th>
<th>NOT KNOWN</th>
<th>Remarks</th>
</tr>
</thead>
</table>

### C. Identification of Special Requirements: Will the project activities include:

<table>
<thead>
<tr>
<th>13. Commercial development of the cultural resources and knowledge of Indigenous Peoples?</th>
<th>YES</th>
<th>NO</th>
<th>NOT KNOWN</th>
<th>Remarks</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>14. Physical displacement from traditional or customary lands?</th>
<th>YES</th>
<th>NO</th>
<th>NOT KNOWN</th>
<th>Remarks</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>15. Commercial development of natural resources (such as minerals, hydrocarbons, forests, water, hunting or fishing grounds) within customary lands under use that would impact the livelihoods or the cultural, ceremonial, spiritual uses that define the identity and community of Indigenous Peoples?</th>
<th>YES</th>
<th>NO</th>
<th>NOT KNOWN</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>KEY CONCERNS</td>
<td>YES</td>
<td>NO</td>
<td>NOT KNOWN</td>
<td>Remarks</td>
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<td>----------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>16. Establishing legal recognition of rights to lands and territories that are traditionally owned or customarily used, occupied or claimed by indigenous peoples?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17. Acquisition of lands that are traditionally owned or customarily used, occupied or claimed by indigenous peoples?</td>
<td></td>
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</tbody>
</table>
Social Impact Assessment Concepts and Methods

A. Social Impact Assessment

1. The Social Impact Assessment (SIA) assists in promoting inclusive social development by helping to achieve development outcomes that are equitable and sustainable, thereby contributing to poverty reduction and development goals. The social development outcomes sought through this approach to SIA are as follows:
   (i) Greater inclusiveness and equity in access to services, resources, and opportunities;
   (ii) Greater empowerment of poor and marginalized groups to participate in social, economic, and political life; and
   (iii) Greater security to cope with chronic or sudden risks, especially for poor and marginalized groups.

2. The scope and depth of the social analysis will vary depending on the sector, the focus and complexity of the project, and the social context in which it will be implemented. Nevertheless, the thematic areas that a social analysis will cover generally include the following key social dimensions and strategies:
   (i) Participation;
   (ii) Gender and development;
   (iii) Social safeguards; and
   (iv) Management of other social risks and vulnerabilities.

B. Key Social Analysis Outputs

3. Social analysis is an integral part of project design process and should contribute to the technical and economic analyses, stakeholder consultations, consideration of alternative design options, and preparation of the final design, including monitoring and evaluation indicators. The overall results of the social assessment will provide the following key outputs:
   (i) Socioeconomic profiles of relevant population groups;
   (ii) Social action or mitigation plans, or other measures incorporated in the project design; and
   (iii) Social development targets and indicators.

4. For most projects, the data collection process will include both primary and secondary data, and a combination of qualitative and quantitative methods. Qualitative approaches are particularly relevant to social analysis because they identify issues and capture variables not obtainable through quantitative surveys, particularly relating to social inclusion/exclusion, empowerment/disempowerment, and security/insecurity.

C. Data Collection Methods

5. In conducting the SIA, two main data collection methodologies are recommended that will capture both qualitative and quantitative data. All data obtained should be disaggregated by sex and ethnicity:
   (i) Household level Questionnaire based Interviews. These will involve closed questions with either multiple choice answers or numerically coded responses.
   (ii) Focus Group Meetings. These semi-structured consultations with a small group (generally 5–10 participants plus 1–2 facilitators) are used to explore people’s attitudes, concerns, and preferences. Focus groups are particularly useful to elicit
the views of members of a community who may be reluctant to speak in a more
public setting (such as women, indigenous peoples, the disabled, or poor
individuals, and households). It is preferable to use gender disaggregated focal
groups (i.e., separate men’s and women’s groups).

D. Secondary Data

6. Sources of secondary data that may be relevant in preparing the socio-economic profiles
(see below) include the following:
   (i) Population Census. A national census can usually provide basic data on
       employment, household size, housing, and access to basic services, including
       data disaggregated by region or state/province.
   (ii) Living Standard Measurement Surveys (LSMS) and Other Existing Household
       Surveys. LSMS and other multi-topic surveys can provide data on household
       income and expenditures, employment, health, education, ownership of land and
       other assets, and access to basic services and social programs.
   (iii) Demographic and Health Surveys. These surveys generally include data on
       (a) health, infant mortality, fertility, contraceptive practices and family planning,
       antenatal care, type of facility and care used by women for childbirth, feeding
       practices, vaccination, health center use by mothers and children, satisfaction
       with health services, and cost of treatment; (b) educational attainment;
       (c) occupations of men and women; (d) migration; (e) access to water, sanitation,
       and energy services; and (f) ownership of durable goods. These surveys can be
       used to calculate household wealth and are particularly relevant to gender
       analysis.
   (iv) Employment Surveys. These surveys provide data on (a) employment,
       unemployment, and underemployment patterns; (b) wages and other household
       income; (c) demographics; and (d) housing features. However, the surveys are
       unlikely to provide information on microenterprises and other informal business
       activities, or on the unpaid labor of household members involved in agriculture or
       household businesses.

E. Profile of Beneficiaries

7. Key outputs from the SIA are socioeconomic profiles of the target groups which are key
inputs to the design of a project, and provide baseline data for monitoring the social impacts of
the project on relevant groups. The purpose of these profiles is to:
   (i) Identify the relevant client/beneficiary population and any other populations likely
       to be affected by the project;
   (ii) Identify subgroups with different needs and interests; and
   (iii) Assess the relevant needs, demands, constraints, and capacities of these groups
       and subgroups in relation to the proposed project.

8. These profiles provide a basis for further analysis of significant social issues (e.g.,
related to gender, indigenous peoples, involuntary resettlement, labor, affordability, or
health/trafficking risks related to large infrastructure projects). They also aid the project design
team in framing project outputs, selecting technologies, and devising implementation
arrangements that are appropriate, feasible, and responsive to local needs and capacities.
F. Content of Socioeconomic Profiles

9. Socioeconomic profiles are based upon the primary and secondary data obtained through the household interviews, focal group discussions and also other reports reviewed providing relevant secondary data. A sample outline of a socioeconomic profile addressing social issues in agriculture and rural development is provided below.

10. Location and physical characteristics:
   (i) Map (showing roads, land use, rivers, bridges, major settlement areas); and
   (ii) Description of location.

11. Economic (including disaggregation of data by gender, ethnicity, and income level):
   (i) Ownership of assets;
   (ii) Land (e.g., amount, type, distribution, security of tenure);
   (iii) Other (e.g., livestock, equipment, buildings);
   (iv) Type of livelihood (e.g., subsistence, commercial, or both);
   (v) Household income/expenditures;
   (vi) Skills;
   (vii) Employment and allocation of labor;
   (viii) Use of and access to credit;
   (ix) Use of and access to marketing service; and
   (x) Use of and access to commercial inputs.

12. Social infrastructure (including disaggregation of data by gender, ethnicity, and income level):
   (i) Access to health services;
   (ii) Education (primary, secondary, informal);
   (iii) Water and sanitation;
   (iv) Housing;
   (v) Roads and communications; and
   (vi) Energy.

13. Demographic (including disaggregation of data by gender, ethnicity, and income level):
   (i) Age/sex/family size;
   (ii) Birth/death rates;
   (iii) Health and nutrition (of adults and children);
   (iv) Migration (in and out); and
   (v) Number of single-parent households.

14. Social organization (including evidence of differences based on gender, ethnicity, or income level):
   (i) Family structures;
   (ii) Social structures in the community;
   (iii) Information on how collective decisions are made;
   (iv) Local institutional structures;
   (v) NGOs or community-based organizations in the area; and
   (vi) Level of social cohesion, social respect, and initiative.
Outline of an Indigenous Peoples’ Development Plan

1. This outline is part of the safeguard requirements. An Indigenous Peoples’ Development Plan (IPDP) is required for all projects with impacts on indigenous peoples. Its level of detail and comprehensiveness is commensurate with the significance of potential impacts on indigenous peoples. The substantive aspects of this outline will guide the preparation of IPDP, although not necessarily in the order shown.

A. Executive Summary

2. This section concisely describes the critical facts, significant findings, and recommended actions.

B. Description of the Project

3. This section provides a general description of the project; discusses project outputs and activities that may bring impacts on indigenous peoples; and identify project area.

C. Social Impact Assessment

4. This section:
   (i) Reviews the legal and institutional framework applicable to indigenous peoples in project context.
   (ii) Provides baseline information on the demographic, social, cultural, and political characteristics of the affected indigenous peoples’ communities; the land and territories that they have traditionally owned or customarily used or occupied; and the natural resources on which they depend.
   (iii) Identifies key project stakeholders and elaborate a culturally appropriate and gender-sensitive process for meaningful consultation with indigenous peoples at each stage of project preparation and implementation, taking the review and baseline information into account.
   (iv) Assesses, based on meaningful consultation with the affected indigenous peoples, the potential adverse and positive effects of the project. Critical to the determination of potential adverse impacts is a gender-sensitive analysis of the relative vulnerability of, and risks to, the affected indigenous peoples given their particular circumstances and close ties to land and natural resources, as well as their lack of access to opportunities relative to those available to other social groups in the communities, regions, or national societies in which they live.
   (v) Includes a gender-sensitive assessment of the affected indigenous peoples’ perceptions about the project and its impact on their social, economic, and cultural status.
   (vi) Identifies and recommends, based on meaningful consultation with the affected indigenous peoples, the measures necessary to avoid adverse effects or, if such measures are not possible, identifies measures to minimize, mitigate, and/or compensate for such effects and to ensure that the indigenous peoples receive culturally appropriate benefits under the project.

D. Information Disclosure, Consultation and Participation

5. This section: (i) describes the information disclosure, consultation and participation process with the affected indigenous peoples that was carried out during project preparation; (ii) summarizes their comments on the results of the social impact assessment and identifies
concerns raised during consultation and how these have been addressed in project design; (iii) in the case of project activities requiring broad community support, documents the process and outcome of consultations with affected indigenous peoples and any agreement resulting from such consultations for the project activities and safeguard measures addressing the impacts of such activities; (iv) describes consultation and participation mechanisms to be used during implementation to ensure ethnic minority participation during implementation; and (v) confirms disclosure of the draft and final IPDP to the affected indigenous peoples.

E. Beneficial Measures

6. This section specifies the measures to ensure that the indigenous peoples receive social and economic benefits that are culturally appropriate, and gender responsive.

F. Mitigative Measures

7. This section specifies the measures to avoid adverse impacts on indigenous peoples; and where the avoidance is impossible, specifies the measures to minimize, mitigate and compensate for identified unavoidable adverse impacts for each affected indigenous peoples.

G. Capacity Building

8. Being a value chain project, there is little opportunity for general capacity building of indigenous people/ethnic minority, and what capacity building is being offered is mainly technological. This section can try to provide measures to strengthen the indigenous peoples/ethnic minority subproject participants' capacity to take advantage of project supported activities and obtain maximum benefits and from agriculture and related training that will be provided.

H. Grievance Redress Mechanism

9. This section describes the procedures to redress grievances by affected indigenous peoples. It also explains how the procedures are accessible to indigenous peoples and culturally appropriate and gender sensitive.

I. Institutional Arrangement

10. This section describes institutional arrangement responsibilities and mechanisms for carrying out the various measures of the IPDP. It also describes the process of including relevant local organizations and NGOs, if any, in carrying out the measures of the IPDP.

J. Monitoring, Reporting and Evaluation

11. This section describes the mechanisms and benchmarks appropriate to the project for monitoring, and evaluating the implementation of the IPDP. It also specifies arrangements for participation of affected indigenous peoples in the preparation and validation of monitoring, and evaluation reports.

K. Budget and Financing

12. This section provides an itemized budget for all activities described in the IPDP.