

## **APPENDIX 5.1**

### **Questionnaire for Screening of Environmental & Social Impact**

## SAFEGUARDS SCREENING FORMS

One consolidated set of component-wise screening forms is to be completed for each district. since some components may be implemented by WBSEDCL/contractors on a rolling basis not all components/activities may be confirmed upfront. In case additional activities are identified following initial submission, the consolidated forms can be updated or submitted separately..

Part A. General information – provide for each districts/packages.

Part B. Project description

- Conversion to ABC subprojects, complete Form 1
- Feeder segregation and bifurcation subprojects, complete Form 2
- Augmentation of Conductor size of 11KV Line (With ACSR DOG Conductor), complete Form 3
- Installation of 11KV Capacitor Bank in 33/11KV SS, complete Form 4

Part C. Baseline

- Conversion to ABC following existing alignment with no diversion, complete items (in **bold**) of form only
- Conversion to ABC with minor diversion, complete one form for each component/activity
- 11 kV feeder segregation and bifurcation complete one form for each component/activity
- Augmentation of Conductor size of 11KV Line (With ACSR DOG Conductor) complete one form for each component/activity
- Installation of 11KV Capacitor Bank in 33/11KV SS complete one form for each component/activity

Part D. Screening checklists

- Environment – one checklist per component/activity
- Involuntary resettlement – one checklist per component/activity
- Indigenous peoples – one checklist per component/activity

Provide requested maps and photographs as separate files using clear naming protocol to identify them.

### A. GENERAL INFORMATION

Component/Activity Name: \_\_\_\_\_

Contract Package: \_\_\_\_\_

Contractor: \_\_\_\_\_

- For ABC conversions list by division and district the names of the villages included with latitude/longitude for each, flagging any that will involve a minor diversion.
- For feeder separation list by division and district the feeder name together with the substation and names of villages connected to it with latitude/longitude for each.

## B. PROJECT DESCRIPTION

**Form 1.** If the subproject involves conversion to ABC complete this checklist on a division wise basis, reflecting all components/activities included under that division.

Items	Details
<b>Districtwise description:</b>	
Length of LTOH Bare Conductor to be replaced with ABC	Ckm:
Map of line alignments (map to be provided for each village/ location)	Provide as a separate file a map for each village/location showing the line alignment, including details of any minor diversion, at a readable scale.
Confirm all ABC works within village boundaries	yes/no
Existing 220V/440 V transformers utilised	Type: ground mounted/pole mounted Model and date of manufacture: Date of last oil change or maintenance, if known: Existing safety features: fence/warning sign/climb deterrent Pollution prevention features for ground mounted poles: none/concrete platform/bund Photo of the pole erection and stringing (if available)
New poles on existing alignments	Number of poles:
New poles on diverted routes, required in order to meet conductor clearances (maps to show details of any diversions)	Number of poles:
Construction camp location/size, if any (may be used for multiple components)	
Temporary workers camp location/size, if any (may be used for multiple components)	

**Form 2.** If the component/activity involves 11 kV segregation & bifurcation complete this checklist.

Items	Details
<b>District wise description:</b>	
Length of 11kV feeder line required	Ckm above ground line: <ul style="list-style-type: none"> <li>• Bare Conductor :</li> <li>• HT ABC :</li> </ul> Ckm underground line: Number of railway crossings:  Number of SH/NH crossings  Number of River crossings :
Map of feeder line route (map(s) to be provided for entire route)	Insert or provide as a separate file map showing the line alignment at readable scale
Existing substation connection (details provided for all substations; photo(s) of substations provided as a separate file)	Name:  New feeder required: no/control panel/outdoor cabling and circuit breaker  Photo of the substation (if available)
Existing 11kV/400 V transformer used (details provided for all transformers; photo(s) of transformers provided as a separate file)	Type: ground mounted/pole mounted  Model and date of manufacture:  Date of last oil change or maintenance, if known:  Evidence of oil leak: none/minor/major  Existing safety features: fence/warning sign/climb deterrent  Pollution prevention features for ground mounted transformers: none/concrete platform/bund  Photo of the transformer (if available)
New 11kV/440 V transformer (details to be provided for all transformers)	New transformer required: yes/no  Type: ground mounted/pole mounted
Construction camp location/size, if any (may be used for multiple components)	
Temporary workers camp location/size, if any (may be used for multiple components)	

**Form 3.** If the component/activity involves in Augmentation of Conductor size of 11KV Line (With ACSR DOG Conductor) complete this checklist

Items	Details
<b>District wise description:</b>	
Length of 11kV feeder line required	<p>Ckm above ground line:</p> <ul style="list-style-type: none"> <li>• Bare Conductor :</li> <li>• HT ABC :</li> </ul> <p>Ckm underground line:</p> <p>Number of railway crossings:</p> <p>Number of SH/NH crossings</p> <p>Number of River crossings :</p>
Map of feeder line route (map(s) to be provided for entire route)	Insert or provide as a separate file map showing the line alignment at readable scale
Existing substation connection (details provided for all substations; photo(s) of substations provided as a separate file)	<p>Name:</p> <p>New feeder required: no/control panel/outdoor cabling and circuit breaker</p> <p>Photo of the substation (if available)</p>
Existing 11kV/400 V transformer used (details provided for all transformers; photo(s) of transformers provided as a separate file)	<p>Type: ground mounted/pole mounted</p> <p>Model and date of manufacture:</p> <p>Date of last oil change or maintenance, if known:</p> <p>Evidence of oil leak: none/minor/major</p> <p>Existing safety features: fence/warning sign/climb deterrent</p> <p>Pollution prevention features for ground mounted transformers: none/concrete platform/bund</p> <p>Photo of the transformer (if available)</p>
Construction camp location/size, if any (may be used for multiple components)	
Temporary workers camp location/size, if any (may be used for multiple components)	

**Form 4.** If the component/activity involves in installation of 11KV Capacitor Bank in 33/11KV SS complete this checklist

Items	Details
<b>District wise description:</b>	
Length of 11kV feeder line required	Ckm above ground line: <ul style="list-style-type: none"> <li>• Bare Conductor :</li> <li>• HT ABC :</li> </ul> Ckm underground line: Number of railway crossings:  Number of SH/NH crossings Number of River crossings :
Map of feeder line route (map(s) to be provided for entire route)	Insert or provide as a separate file map showing the line alignment at readable scale
Existing substation connection (details provided for all substations; photo(s) of substations provided as a separate file)	Name:  New feeder required: no/control panel/outdoor cabling and circuit breaker  Photo of the substation (if available)
Existing 11kV/400 V transformer used (details provided for all transformers; photo(s) of transformers provided as a separate file)	Type: ground mounted/pole mounted  Model and date of manufacture:  Date of last oil change or maintenance, if known:  Evidence of oil leak: none/minor/major  Existing safety features: fence/warning sign/climb deterrent  Pollution prevention features for ground mounted transformers: none/concrete platform/bund  Photo of the transformer (if available)
New Capacitor Bank installed (details to be provided for all capacitor bank)	New Capacitor Bank required: yes/no
Construction camp location/size, if any (may be used for multiple components)	
Temporary workers camp location/size, if any (may be used for multiple components)	

## ENVIRONMENTAL BASELINE

For each minor diversion related to conversion to ABC, 11 kV feeder segregation of agricultural feeders, and 11 kV feeder bifurcation for non-agricultural feeders, DOG Conductor augmentation and capacitor bank installation component/activity included in the subproject complete all questions in the following form.

For conversion to ABC following existing alignment with no diversion, complete only the questions in **bold**.

Land Use and Sensitive Receptors	Details
Existing road reserve inside habitation	km of line:
Existing road reserve outside habitation	km of line:
Existing field boundaries	km of line:
Agricultural land traversed	km of line: number of poles:
Community or private forest land traversed	km of line: number of poles: tree cutting required: yes/no
Other land type traversed: (detail land types)	km of line:
Crossing of waterbodies e.g. rivers, streams, canals, drains, ponds etc.	Number of waterbody crossings: Insert or provide as a separate file a clear photo of each waterbody to cross
Presence of critically endangered or endangered flora and fauna in the district, confirmed by forest officials etc.	yes/no
<b>Presence of</b> legally protected areas, other nationally or internationally recognized important ecosystems, natural or critical habitat, <b>including the following:</b> <ul style="list-style-type: none"> <li>• <b>legally protected areas such as National Parks, Wildlife Sanctuaries, ecosensitive zones etc.,</b></li> <li>• <b>natural World Heritage Sites,</b></li> <li>• <b>Ramsar sites,</b></li> <li>• <b>important bird areas,</b></li> <li>• <b>key biodiversity areas,</b></li> </ul>	List any within 1 km, together with minimum distance to line alignment <sup>30</sup>

<sup>30</sup> IBAT to be run for a wider study area of 10km around village latitude/longitude grid coordinates using its multiple sites function to identify the presence of legally protected areas, important bird areas etc. IBAT report to be attached to confirm search undertaken.

<ul style="list-style-type: none"> <li>• elephant or tiger reserves,</li> <li>• defined elephant and tiger corridors,</li> <li>• reserve/protected/notified forest areas,</li> <li>• biodiversity heritage sites,</li> <li>• wetlands etc.</li> </ul>	
<b>Internationally and nationally important physical cultural resources</b>	List any Cultural World Heritage Sites and ASI monuments including buffer zones within 1 km, together with the minimum distance to line alignment
Locally important physical cultural resources in the line alignment e.g. shrines, trees etc.	yes/no  If yes, provide details of these physical cultural resources including photos as separate files
Private/public trees located within the safety clearance and requiring to be cut	Number:  Confirm species cut do not include CR, EN, endemic, restricted range species: yes/no
<b>School compounds and/or buildings located within the safety clearances</b>	yes/no  If yes, provide photos clearly showing baseline situation (attach as separate files) with a map clearly showing details of the line alignment, and how safety clearances will be achieved by project

For each 11 kV feeder segregation & bifurcation component/activity involving an existing substation complete the following form, provide the requested maps and photographs as separate files using clear naming protocol to identify them.

<b>Substation Name:</b>					
<b>Year of establishment:</b>					
<b>Grid Reference:</b>					
<b>Aerial map of substation, if available</b>					
<b>Photo of substation compound:</b>					
<b>Photo of control building and details of wall/roof materials:</b>					
<b>No. transformers and dates of manufacture with photo of rating plate:</b>					
<b>Area of substation and layout map:</b>					
<b>Nearest residence and habitation (name and distance in m):</b>					
<b>Total staff at substation (technical and non-technical):</b>					
<b>Audit Checks:</b>	<b>Yes</b>	<b>No</b>	<b>Don't Know</b>	<b>N/A</b>	<b>Remarks, including the need for short-term or long-term corrective actions from the project-level EMP (attach photos to support findings)</b>
<i>Housekeeping / Waste Management</i>					
<i>Corrective action: short term/long term/none</i>					
Is the substation kept neat and tidy?					
Are there any trip hazards on the ground e.g. open channels, materials, equipment, trash laying around?					
Is there any general waste storage and/or disposal on-site?					Provide details of general waste storage and how it is disposed of:
Is there any waste burning on site?					
Are there any hazardous wastes (solid/liquid/gas) being stored and/or disposed of?					How are any hazardous wastes (solid/liquid/gas) being stored and disposed of?
Is end of life or unused equipment being stored on site?					
Is there a dedicated, labelled storage area for this equipment?					
Are fuel, oil or chemicals being stored on site?					
Are there empty drums or old transformers on site?					

Is there a dedicated, labelled storage area for fuel, oil, and chemicals, empty drums, and/or old transformers?					
Does the storage area have an impermeable floor?					
Is the storage area uncovered?					
Is the storage area locked?					
Does the storage area have a spill containment bund of 110% capacity?					
Are material data sheets for the fuels, oil or chemicals displayed?					Provide copies transformer oil material data sheets:
Has there been any pest problem on site?					
Are any pest control measures undertaken on site?					Provide details of control measures and how often undertaken:
<i>Transformer Oil Leakage</i>					
<i>Corrective action: short term/long term/none</i>					
Do the transformers have a label indicating it contains PCB or is PCB free?					
Is any other evidence available to confirm transformers are PCB free?					Provide copies of any documentary evidence:
Is it known when the transformer oil was last changed?					Confirm date:
Is a maintenance logbook kept on the premises?					Describe schedule of maintenance:
Are the transformers mounted on an impermeable platform?					
Does the transformer platform have a spill containment bund/sump of 110% capacity?					
Is there any evidence of oil leaking or having					

previously leaked from transformers					
Is there any spill equipment available on site (e.g. sand, cloths, or other absorbent materials)?					
<i>Lighting and Ventilation</i>					
<i>Corrective action: short term/long term/none</i>					
Is adequate ventilation provided in control building?					
Are all vents free of blockages?					
Is heating and/or air con available?					
Is adequate natural or artificial lighting provided in control building?					
Is adequate lighting provided in the substation compound at night?					
Are all lights in working order?					
<i>First Aid Equipment</i>					
<i>Corrective action: short term/long term/none</i>					
Is a first aid kit available on site?					Elaborate on contents:
Is it clearly labelled where the first aid kit is stored?					
Is the first aid equipment within its expiry date?					
Do any staff on site have first aid training?					Confirm how many and the extent of training received:
Is one staff with first aid training present on site at all times?					
Are there any posters showing first aid procedures especially for electrocution?					
<i>Fire Safety Equipment</i>					
<i>Corrective action: short term/long term/none</i>					
Does the control building have fire detectors and alarm?					
Is the alarm system operational?					
Is fire fighting equipment present?					Elaborate on equipment provided, No. fire extinguishers

					No. of fire buckets filled with sand
Do fire extinguishers have an in-date service record?					
Is a record of fire alarm testing and fire drills available on site?					
Do any staff on site have fire training?					
Are there any notices or posters describing procedures to be followed in the event of a fire?					
<i>Community Health and Safety</i>					
<i>Corrective action: short term/long term/none</i>					
Is there a security fence and gates?					
Does the security fence have any gaps permitting entry?					
Are the gates kept locked?					
Is 24/7 security guard present?					
Is the door to the control room kept locked?					
Are there written or graphic "danger of electrocution" signs posted on the fence/gates?					
Are there written or graphic "danger of electrocution" signs posted on electrical equipment?					
Can any noise from transformer hum be heard?					
Is shielding equipment/materials installed to decrease electromagnetic field exposure?					
<i>Handling Emergencies</i>					
<i>Corrective action: short term/long term/none</i>					
Is an emergency plan available?					Provide copies of any documentary evidence:
Are emergency exits signed and clear of blockages?					

Is the location and phone number of doctor and hospital posted in a clear location?					Distance to nearest doctor / clinic: Distance to nearest hospital able to treat electrocution accidents and other serious conditions:
Is there an emergency eye wash or shower?					
Is an accident book available on site?					Elaborate on incidents recorded:
<i>Health and Safety of Staff</i>					
<i>Corrective action: short term/long term/none</i>					
Does the control building look to be structurally sound?					
Is there any evidence of asbestos on site?					
Did auditor receive an OHS site induction?					
Have staff on site received OHS training?					Clarify division of labour between on-site workers and other in-coming specialised DISCOM maintenance workers:
Are staff on site wearing PPE?					
Is there a store of PPE available on site?					
Do staff avail of personal exposure monitoring equipment to warn of exceeding exposure levels to electromagnetic fields?					
<i>Drainage</i>					
<i>Corrective action: short term/long term/none</i>					
Is there any standing water visible on site?					
Is a drainage system provided?					
<i>Sanitation and Welfare Facilities</i>					
<i>Corrective action: short term/long term/none</i>					
Is a toilet available on site?					Are there facilities for male and female?
Is the toilet inside staff building or outside it?					
Does the toilet connect to septic tank with soakaway or sewerage system?					
Are handwashing facilities available?					
Is hot and cold water available?					
Is soap provided?					

Does the toilet have lock or vacant indicator?					
Is potable water available on site?					Elaborate on the source:
Is there any evidence of potable water meeting Drinking Water Standards?					Provide copies of any documentary evidence:
Are staff stationed at substation during on shift hours and how many, including security guards?					If so, how many? How long are staffs' shifts? How long are security guards' shifts?
Is a food preparation and clean eating area available?					Is the area free from any contamination from work processes?
Is cooking fuel used at site?					Describe fuel(s) used:
Are staff staying at the substation overnight (out of hours) and how many?					
Is there dedicated workers accommodation and/or shelters?					Describe worker accommodation and facilities provided including for security guards e.g. does it protect from rain and sun; does it have a bed; heating; air conditioning etc.

## SCREENING CHECKLISTS

### D-1. Screening of Subprojects for Environment

One environmental screening checklist is to be completed for each subproject, informed by the project description and baseline forms completed in respect of all components/activities included under it.

Potential environmental impacts for both conversion to ABC and feeder lines have already been identified at the Project level and mitigation for these impacts has been identified in the project-level EMP so only locations issues need further consideration. If the answer to any of the screening questions below is a yes or not known, then as part of updating the IEE a site-specific assessment (subject to eligibility) might be required for any components/activities of concern to determine the significance of potential impacts and any site-specific mitigation measures required.

Subproject Specific Screening	Yes	No	Not Known	Remarks
<b>A. Subproject Siting</b>				

Is any subproject component/activity adjacent to or within 1 km of any of the following or any other legally protected areas, other nationally or internationally recognized important ecosystems, natural or critical habitat? Informed by Environment Baseline Form/IBAT Check				
▪ National Park				
▪ Wildlife Sanctuary				
▪ Eco Sensitive Area				
▪ World Heritage Site (natural or cultural)				
▪ ASI monument				
▪ Other National Protected Area (state type)				
▪ Buffer Zone of Protected Area (state which)				
▪ Ramsar Site				
▪ Important Bird Area				
▪ Key Biodiversity Area				
▪ Elephant Reserve				
▪ Tiger Reserve				
▪ Defined elephant corridor				
▪ Defined tiger corridor				
▪ Reserve/protected/notified forest area				
▪ Biodiversity heritage site				
▪ Other forest area (not protected)				
▪ Wetland				
<b>B. Potential Environmental Impacts</b> Will any of the subproject components/activities...				
▪ involve the construction of a new line i.e. 11 kV segregation and bifurcation?				
▪ result in the conversion or degradation of natural habitat?				
▪ encroach on any legally protected areas, other nationally or internationally recognized important ecosystems, natural or critical habitat per Section A?				

▪ encroach on any buffer zones or connecting corridors of legally protected areas, other nationally or internationally recognized important ecosystems, natural or critical habitat per Section A?				
▪ encroach on community or private forest?				
▪ result in damage to physical cultural resources or require their removal?				
▪ encroach on any historical/cultural areas per Section A?				
▪ encroach on or within the safety clearances for school compounds or buildings?				
<b>C. Subproject Components/Activities</b> Will any of the subproject components/activities cause additional site-specific impacts to those detailed in the IEE and covered by the project-level EMP...				
▪ <i>Component A [insert details]</i>				
▪ <i>Component B [insert details]</i>				
▪ <i>Component C [insert details]</i>				
▪ ....				

## IEE UPDATE OUTLINE

Unless a site-specific assessment is required the consolidated screening forms, together with any consultation proformas, will comprise the basis for the IEE update for each subproject. The IEE update for each subproject will be attached to the IEE in the form of an annex.

If a site-specific assessment is required for any components/activities, then a detailed assessment of the potential impacts and risks is to be included in the update annex, together with a site-specific EMP to accompany the project-level EMP for implementation by the contractor.

- **Description of the Project**, attach project description section based on completed project description forms for the subproject.
- **Description of the Environment**, attach baseline section based on completed baseline forms for all subproject components/activities together with a short elaboration of the locational aspects of the baseline environment supported by the zone/division which the subproject covers with being attention paid to land use, population and vulnerabilities, presence of protected areas, KBAs, reserved forest areas, elephant and tiger corridors, physical cultural resources etc.
- **Existing Facilities Audit**, in relation to 11kV feeder lines attach completed environment audit form for all existing substations in subproject, identifying applicable corrective actions.
- **Site-Specific Environmental Impacts and Mitigation Measures**, required only when screening identifies a site-specific assessment is required due to the presence of any sensitive receptors.
- **Information Disclosure, Consultation, and Participation**, for all subproject components/activities provide summary per below table and attach copies of completed consultation proformas.

Consultation Activities	Yes	No	
Meaningful consultations with community were conducted before finalizing the alignment			Details of consultations undertaken, Table 1 and 2
Suggestions received in finalizing the alignment			Suggestions provided, Table 3
If suggestions received, are they incorporated into design			

- **Site-Specific EMP**, not required unless site-specific EMP is required based on site-specific assessment.

## SOCIAL BASELINE

### Due Diligence for Construction of Feeders (11kV Lines)

#	Particulars	Description/Details/Status
1	Length of feeders and numbers of poles	
2	Name of villages	
3	Name of circle/block	
4	Name of district	
5	Is it a tribal area? The answer must be in Y/N	
6	Type of area (road/agricultural/ plantation/residential /commercial and etc.) in the corridor?	

7	Ownership of land (private/Government)	
8	If private land, how many poles are erected and how much private land occupied by the poles?	
9	Land use pattern for the locations of pole erection.	
10	Have the owner(s) provided consent to support on erecting the poles?	
11	If consent not given, then has compensation been provided to how many households and how much per each household?	
12	Is the feeder passing over houses or buildings?	
13	If yes, how many structures affected approximately?	
14	What type of the structures (residential/commercial/Others)?	
15	What are the impacts on the structures (i.e. number of structures affected, number of households affected and size of damages)?	
16	If damaged, has compensation been provided to how many households and how much per each household? Or damages repaired?	
17	Is the feeder passing over religious or cultural properties?	
18	What are the impacts on these properties (i.e. numbers of structures and size of damages)?	
19	If damaged, has it properly repaired or has compensation for repair been given to how many households and how much per household?	
20		
21		
22		
23	Has compensation been provided to how many households and how much per each household?	
24		
25		
26	Have the owner(s) agreed the tree trimming?	
27	If not, then has compensation been provided to how many households and how much per each household?	
28	Does the feeder have any impact on crops?	

29	If yes, how much of the crop area affected?	
30	What are the types of crops?	
31	Have the owner(s) agreed to bear the crop losses?	
32	If not, then has compensation been provided to how many households and how much per each household?	
33	Any other impacts? Please specify.	
34	Have consultations undertaken how many times and with how many participants (men and women)?	
35	Remarks	

**Submitted by:**

(Name of the TKC:

Name and signature:

Position:

Date:

**Verified by :**

Name of the PM/PMU WBSEDCL:

Name and signature:

Position:

Date:

**Reviewed by:**

IISWBM

Name and signature:

Date:

**Approved by :**

CE Project IV (WBSEDCL):

Signature:

Date:

## **APPENDIX 5.2**

### **Questionnaire for IR & IP**

## Screening for Involuntary Resettlement

Component-wise involuntary resettlement screening checklist is to be completed for each district.

Probable Involuntary Resettlement Effects	Yes	No	Not Known	Remarks
<b>Involuntary Resettlement Impacts</b>				
1. Does the subproject component have any impact on private land (i.e. installation of poles on and lines over the land)?				If no, then C as only government or public land affected, and the record of land ownership should be collected and kept. If yes, then B as there are impacts on private land, then social due diligence required.
2. If there is an impact on private land. Was alternative route by utilizing within an existing public Right of Way (ROW) explored?				
3. Is the site for the impact known?				
4. Is the ownership status and current usage of land to be acquired known?				
5. Will there be loss of shelter and residential land due to land acquisition?				
6. Will there be loss of agricultural and other productive assets due to land acquisition?				
7. Will there be losses of crops, trees, and fixed assets due to land acquisition?				
8. Will there be loss of businesses or enterprises due to land acquisition?				
9. Will there be loss of income sources and means of livelihoods due to land acquisition?				
<b>Involuntary restrictions on land use or on access to legally designated parks and protected areas</b>				
10. Will people lose access to natural resources, communal facilities and services?				
11. If land use is changed, will it have an adverse impact on social and economic activities?				
12. Will access to land and resources owned communally or by the state be restricted?				
<b>Information on Displaced Persons:</b>				

Any estimate of the likely number of persons that will be displaced by the Subproject? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, approximately how many?
Are any of them poor, female-heads of households, or vulnerable to poverty risks? <input type="checkbox"/> No <input type="checkbox"/> Yes
Are any displaced persons from indigenous or ethnic minority groups? <input type="checkbox"/> No <input type="checkbox"/> Yes

## Screening for Indigenous Peoples Resettlement as per ADB

Component-wise Indigenous Peoples Resettlement screening checklist is to be completed for each district.

<b>KEY CONCERNS</b> (Please provide elaborations on the Remarks column)	<b>YES</b>	<b>NO</b>	<b>NOT KNOWN</b>	<b>Remarks</b>
<b>A. Indigenous Peoples Identification</b>				
1. Are there socio-cultural groups present in or use the subproject area who may be considered as scheduled tribes (hill tribes, scheduled tribes, tribal peoples, and indigenous people or communities) in the subproject area?				
2. Are there national or local laws or policies as well as anthropological research/studies that consider these groups present in or using the subproject area as belonging scheduled tribes, tribal peoples, or cultural communities?				
3. Do such groups self-identify as being part of a distinct social and cultural group?				
4. Do such groups maintain collective attachments to distinct habitats or ancestral territories and/or to the natural resources in these habitats and territories?				
5. Do such groups maintain cultural, economic, social, and political institutions distinct from the dominant society and culture?				
6. Do such groups speak a distinct language or dialect?				
7. Has such groups been historically, socially and economically marginalized, disempowered, excluded, and/or discriminated against?				
8. Will the project target any of the groups and communities identified?				
9. Will the subproject directly or indirectly impact on their livelihood?				

**IPP is not applicable due to category “C” for IP.**

## **OUTLINE OF A RESETTLEMENT PLAN**

(Applicable sections will be used)

### **A. Executive Summary**

This section provides a concise statement of project scope, key survey findings, entitlements, and recommended actions.

### **B. Project Description**

This section provides a general description of the project, discusses project components that result in land acquisition, involuntary resettlement, or both, and identify the project area. It also describes the alternatives considered to avoid or minimize resettlement. Include a table with quantified data and provide a rationale for the final decision.

### **C. Scope of Land Acquisition and Resettlement**

This section:

- (i) discusses the project’s potential impacts, and includes maps of the areas or zone of impact of project components or activities;
- (ii) describes the scope of land acquisition (provide maps) and explains why it is necessary for the main investment project;
- (iii) summarizes the key effects in terms of assets acquired and displaced persons; and
- (iv) provides details of any common property resources that will be acquired.

### **D. Socioeconomic Information and Profile**

This section outlines the results of the social impact assessment, the census survey, and other studies, with information and/or data disaggregated by gender, vulnerability, and other social groupings, including:

- (i) define, identify, and enumerate the people and communities to be affected;
- (ii) describe the likely impacts of land and asset acquisition on the people and communities affected taking social, cultural, and economic parameters into account;
- (iii) discuss the project’s impacts on the poor, indigenous and/or ethnic minorities, and other vulnerable groups; and
- (iv) identify gender and resettlement impacts, and the socioeconomic situation, impacts, needs, and priorities of women.

### **E. Information Disclosure, Consultation, and Participation**

This section:

- (i) identifies project stakeholders, especially primary stakeholders;

- (ii) describes the consultation and participation mechanisms to be used during the different stages of the project cycle;
- (iii) describes the activities undertaken to disseminate project and resettlement information during project design and preparation for engaging stakeholders;
  - (iv) summarizes the results of consultations with affected persons (including host communities), and discusses how concerns raised and recommendations made were addressed in the resettlement plan;
- (v) confirms disclosure of the draft resettlement plan to affected persons and includes arrangements to disclose any subsequent plans; and
  - (vi) describes the planned information disclosure measures (including the type of information to be disseminated and the method of dissemination) and the process for consultation with affected persons during project implementation.

## **F. Grievance Redress Mechanisms**

This section describes mechanisms to receive and facilitate the resolution of affected persons' concerns and grievances. It explains how the procedures are accessible to affected persons and gender sensitive.

## **G. Legal Framework**

This section:

- (i) describes national and local laws and regulations that apply to the project and identify gaps between local laws and ADB's policy requirements; and discuss how any gaps will be addressed.
- (ii) describes the legal and policy commitments from the executing agency for all types of displaced persons;
  - (iii) outlines the principles and methodologies used for determining valuations and compensation rates at replacement cost for assets, incomes, and livelihoods; and set out the compensation and assistance eligibility criteria and how and when compensation and assistance will be provided.
- (iv) describes the land acquisition process and prepare a schedule for meeting key procedural requirements.

## **H. Entitlements, Assistance and Benefits**

This section:

- (i) defines displaced persons' entitlements and eligibility, and describes all resettlement assistance measures (includes an entitlement matrix);
- (ii) specifies all assistance to vulnerable groups, including women, and other special groups; and.

- (iii) outlines opportunities for affected persons to derive appropriate development benefits from the project.

## **I. Relocation of Housing and Settlements**

This section:

- (i) describes options for relocating housing and other structures, including replacement housing, replacement cash compensation, and/or self-selection (ensure that gender concerns and support to vulnerable groups are identified);
- (ii) describes alternative relocation sites considered; community consultations conducted; and justification for selected sites, including details about location, environmental assessment of sites, and development needs;
- (iii) provides timetables for site preparation and transfer;
- (iv) describes the legal arrangements to regularize tenure and transfer titles to resettled persons;
- (v) outlines measures to assist displaced persons with their transfer and establishment at new sites;
- (vi) describes plans to provide civic infrastructure; and
- (vii) explains how integration with host populations will be carried out.

## **J. Income Restoration and Rehabilitation**

This section:

- (i) identifies livelihood risks and prepare disaggregated tables based on demographic data and livelihood sources;
- (ii) describes income restoration programs, including multiple options for restoring all types of livelihoods (examples include project benefit sharing, revenue sharing arrangements, joint stock for equity contributions such as land, discuss sustainability and safety nets);
- (iii) outlines measures to provide social safety net through social insurance and/or project special funds;
- (iv) describes special measures to support vulnerable groups;
- (v) explains gender considerations; and
- (vi) describes training programs.

## **K. Resettlement Budget and Financing Plan**

This section:

- (i) provides an itemized budget for all resettlement activities, including for the resettlement unit, staff training, monitoring and evaluation, and preparation of resettlement plans during loan implementation.

- (ii) describes the flow of funds (the annual resettlement budget should show the budget- scheduled expenditure for key items).
- (iii) includes a justification for all assumptions made in calculating compensation rates and other cost estimates (taking into account both physical and cost contingencies), plus replacement costs.
- (iv) includes information about the source of funding for the resettlement plan budget.

#### **L. Institutional Arrangements**

This section:

- (i) describes institutional arrangement responsibilities and mechanisms for carrying out the measures of the resettlement plan;
- (ii) includes institutional capacity building program, including technical assistance, if required;
- (iii) describes role of NGOs, if involved, and organizations of affected persons in resettlement planning and management; and
- (iv) describes how women's groups will be involved in resettlement planning and management,

#### **M. Implementation Schedule**

This section includes a detailed, time bound, implementation schedule for all key resettlement and rehabilitation activities. The implementation schedule should cover all aspects of resettlement activities synchronized with the project schedule of civil works construction, and provide land acquisition process and timeline.

#### **N. Monitoring and Reporting**

This section describes the mechanisms and benchmarks appropriate to the project for monitoring and evaluating the implementation of the resettlement plan. It specifies arrangements for participation of affected persons in the monitoring process. This section will also describe reporting procedures.