

**Government of the Republic of the Union of Myanmar**  
**National Community Driven Development Project**  
**DRAFT Environmental and Social Management Framework**

(January 2015)

**A. Introduction**

1. A core part of the reforms launched by the Government since 2011 has been an effort to move from top down to “people-centered” development. To put this approach into practice in Myanmar’s rural areas, the Government in 2012 requested the World Bank’s technical and financial support in order to assist in the design and implementation of a National Community Driven Development Project (NCDDP) that would empower communities to determine their own development path, emphasizing transparency and accountability in the use of funds.

2. Prepared in the initial stages of the World Bank Group’s re-engagement with Myanmar, the original NCDDP was prepared according to the World Bank Operational Policy (OP) 8.00 (Rapid Response to Crises and Emergencies). Following OP 8.00, the Government developed and adopted an Environmental and Social Screening and Assessment Framework (ESSAF) as the main safeguard document to be followed for specific project investments during implementation. Since sub-projects to be financed under the NCDDP are identified by communities during implementation, the ESSAF established a mechanism to 1) determine and assess potential environmental and social impacts of sub-projects at the time of their planning, and 2) set out mitigation, monitoring and institutional measures to be taken during the implementation and operation of the sub-projects to eliminate potential adverse environmental and social impacts, offset them, or reduce them to acceptable levels. More detailed information, including standard forms to be used to monitor and record environmental and social impacts during subprojects implementation are included in the project Operations Manual.

3. The original NCDDP, financed out of a \$80m IDA grant and comprising the same five components outlined in section C below, was designed to provide village tract grants to all village tracts in one township in each of the 15 states and regions of Myanmar (including the Nay Pyi Taw Union Territory). To facilitate adaptive learning, the Project adopted a gradual rollout strategy, beginning with three townships in year 1, adding six townships in year 2, and six more in year 3. Since becoming effective in January 2013, the NCDDP has delivered substantial results in a short period of time. During the first community cycle (from October 2013 through June 2014) the project financed 357 subprojects in three townships aimed at increasing access to and use of basic infrastructure and services, including rehabilitating and expanding school buildings, health centers, water supply systems, and roads, footpaths, jetties and bridges.<sup>1</sup> The second community cycle is currently underway, with the project expanding to operate in nine townships in total and providing direct benefits to almost 850,000 people in some of the country’s poorest and most remote rural areas. Over 1,000 sub-projects will be identified, designed and implemented by communities across the country over the next six months.

4. In late 2014, the Government of Myanmar (GoM) requested an Additional Financing (AF) using IDA resources to build on the Project’s achievements and allow it to benefit a larger number of communities by expanding its geographical coverage and increasing the number of grant cycles available to beneficiary communities. An IDA credit of up to \$400 million is now under preparation under OP10.00 (Investment Project Financing). As part of the request for AF, the Government also requested

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<sup>1</sup> The three townships were Namhsan township in Shan State, Kanpetlet township in Chin State, and Kyunsu township in Thanintharyi Region.

an extension of the original closing date by two years, from 31 January 2019 to 31 January 2021, in order to align the IDA financing for the NCDDP. In the context of preparing the additional financing, and in accordance with OP10.00, the ESSAF has been updated and amended in line with applicable safeguard policies, namely, OP 4.01, 4.10 and 4.12, as this Environmental and Social Management Framework (ESMF). The ESMF will serve as the main safeguard document for all activities financed under the NCDDP, including both the original IDA grant, the additional IDA credit financing, and co-financing provided by other donors, including a proposed concessional €20 million loan from the Government of Italy. This concessional Italian loan would provide co-financing to expand the NCDDP project to additional townships. It would follow all project implementation arrangements, including on the safeguards measures outlined in this document.<sup>2</sup>

## **B. AF Project Development Objective**

5. The project development objective under the AF is the same as the original NCDDP: to enable poor rural communities to benefit from improved access to and use of basic infrastructure and services through a people-centered approach and to enhance the Government's capacity to respond promptly and effectively to an eligible crises or emergency. The objective will be achieved through: (i) financing community-identified rural infrastructure investments; (ii) strengthening the capacity of communities in partnership with local authorities to effectively identify, plan and implement their development priorities; and (iii) facilitating the participation of the poor and vulnerable, both women and men, throughout the project cycle at the community level.

## **C. Project Components**

6. Except for a geographic expansion to additional townships, the scope of the AF including the Italian co-financing will remain the same as the original NCDDP and continue to support the same five components, as elaborated below. Each component includes specific activities that seek a gender balance as well as to empower women.

7. **COMPONENT 1: COMMUNITY BLOCK GRANTS:** The NCDDP will finance four annual cycles of on average US\$38,000 per village tract to 68 townships for priority community level infrastructure. The infrastructure to be financed will be based on an open menu (with a negative list) and typically include small feeder roads, foot-paths and bridges, drinking water systems, rehabilitation of class rooms and health centers, and small-scale rural electrification such as micro hydro or solar panels. Considering the lack of familiarity of local authorities and communities with the concept of community empowerment, the first annual cycle in each township is limited to a positive list of sub-projects that are easier to implement (using simple standardized designs) focused on rehabilitation and minor extension works. Block grants are allocated through a participatory planning process covering all villages within a village tract, and all village tracts in selected townships are covered for equity purposes. Planning and prioritization of sub-projects will be undertaken by villagers and representative village tract subcommittees in line with guidelines outlined in the Operations Manual.

### *Selection of Project Locations*

8. The primary criterion for selecting the participating townships is poverty; additional criteria are (i) absence of external funding for similar activities, and (ii) willingness and capability of township authorities to implement the project. Beneficiary townships are selected through a multi-stakeholder

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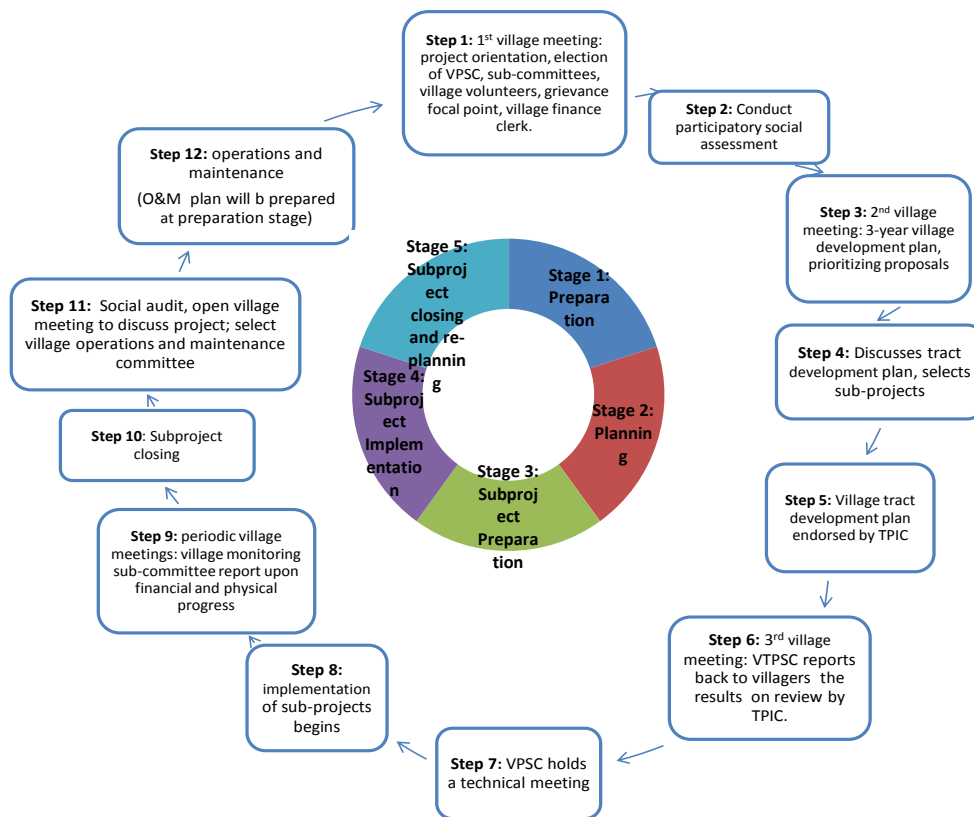
<sup>2</sup> The World Bank is preparing a reimbursable Advisory Services (RAS) agreement with the Government of Italy to provide Bank supervision services for the €20 million concessional loan from the Government of Italy to the Government of Myanmar to scale up the National CDD Project. The Governments of Italy and of Myanmar have requested the Bank to provide these supervision services, which are a disbursement condition of the Italian loan. The RAS agreement would finance Bank supervision services for the four year period of the Italian loan at a cost of €730,000 (ca. \$900,000), payable in one installment up front.

township selection consultation held at the Capital of the Region/State. Following these consultations, the Region/State Chief Minister will report to the Ministry of Livestock, Fisheries and Rural Development (MLFRD) the five townships ranked as highest priority for the Project. Thereafter, MLFRD will submit the result to the Foreign Aid Management Working Committee, in its capacity as the Project’s Steering Committee to select one or several Project townships. These selections will then be sent to the World Bank for its No-Objection.

*Planning Cycle*

9. The project is implemented in Cycles. Each Cycle will follow 12 steps, as shown in the Chart 1 attached below:

**Figure 1: Project Cycle at the Community Level**



10. Community facilitators supported by village volunteers use a range of participatory methods to help villagers identify their priority needs, the priority interventions to meet these needs (captured in a village development plan), and the priority groups that benefit from these interventions, including the poor and marginalized groups. The village tract project sub-committee (VTPSC) reviews the respective village development plans and prioritize the interventions against the needs of the tract and the available funding envelope in a 3-year village tract development plan, updated annually.

11. The Township Project Implementation Committee (TPIC) reviews the village tract development plans against existing sector plans and other known assistance to the township and endorses activities proposed for the coming year in each village tract. If there is a difference of view with regard to the

priorities presented in a village tract development plan (for example, if the village tract plan proposes the construction of a school, but such construction is already foreseen by the Ministry of Education), the VTPSC will be asked to re-assess the priorities based on this information and submit a revised plan to the township level for endorsement.

12. Community facilitators, technical facilitators and village volunteers will assist the villagers and VTPSC in the preparation of their plans. They also ensure that separate consultations are held with women and men in the villages so as to identify their respective needs and priorities. They are in turn assisted by the DRD township offices and the township technical assistance team.

13. The village and village tract development plans are updated annually in advance of the next allocation cycle. The villagers and VTPSC re-evaluate their needs and adjust the priority interventions as necessary. The Township Project Implementation Committee (TPIC) endorses significant deviations from a previous tract development plan (as detailed in the project Operations Manual) but otherwise receives the updated plans for information only. In case of any differences about the updated village tract development plan, the VTPSC are asked to re-assess the priorities and submit a revised plan.

14. The DRD engineers and technical facilitators at the township level will prepare the technical design of sub-projects with support from the TA infrastructure specialist and are responsible for ensuring compliance with all applicable safeguards during sub-project implementation.. The village monitoring sub-committees supervise the day-to-day implementation of the sub-projects and authorize payments to the contractors and laborers. The village procurement sub-committee is responsible for the procurement of goods, works and services, assisted by the DRD engineer. Financial management and contracting is undertaken by the village tract finance sub-committee.

15. Sub-projects may cover more than one village within a tract. A VTPSC may select a sub-project from within its annual allocation that directly benefits more than one of its villages. In this case, the DRD engineer prepares the sub-project in consultation with the committee members, community facilitators and village volunteers. The VTPSC reviews and approves the sub-project. The monitoring sub-committees of the benefiting villages jointly supervise the implementation of the sub-project and authorize payments to the contractors and laborers.

16. There is no community counterpart contribution required in cash or in kind required for any of the sub-projects, although communities are allowed to contribute if they wish to. No one should be forced to contribute any assets against their will, and principles of voluntary donations should apply. Labor services rendered by community members are remunerated based on the going village wage rate for day labor. The rates are reviewed on a regular basis by the township DRD office.

*Sub-project Eligibility*

17. During the first year of operation in each township only a ‘positive list’ of sub-projects is eligible. To allow a learning-by-doing approach, sub-projects eligible for funding in the first year of operation in each township are simple to design and implement. These include small-scale works for the rehabilitation or minor extension (but no new construction) of community infrastructure that use a standardized design, and for which procurement needs from outside the tract are minimal. The first year positive list is presented in Table 1 and is included in the project operations manual.<sup>3</sup>

**Table 1: Year 1 Positive List of Sub-Projects**

	Eligible Sub-Project categories	Clarifications and Limitations on Eligible Categories
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<sup>3</sup> Additional criteria are listed in Table 3.

1	Rural health centers	Rehabilitation or minor extension of existing facilities
2	School buildings	Rehabilitation or minor extension of existing facilities
3	Rural roads (roads connecting villages, and between villages and township)	Rehabilitation or maintenance of existing footpaths and roads within existing alignment Rehabilitation or maintenance of small bridges and culverts
4	Rural water supply systems	Rehabilitation or minor extension of deep/shallow well; rainwater harvesting; installation of minor pipelines from natural springs or surface water sources
5	Rural electrification investments	Solar panel and charge station, pico hydro (<20kW), solar street lighting, bio gas charge station, diesel generator (<15 kilovolt-amps), biomass generator (<15 kilovolt-amps)
6	Community recreation centers	Rehabilitation or minor extension of existing facilities, including for child care and telecommunications
7	Rural markets	Rehabilitation or minor extension of existing facilities
8	Small scale irrigation	Rehabilitation (<25 hectares)
9	Sanitation facility	Rehabilitation or minor extension of public latrines, small scale wastewater treatment and waste disposal facilities,
10	Jetty	Rehabilitation or minor extension of existing public facilities

18. During the second and later years of operation in each village tract, all types of sub-projects are eligible for funding, including small new construction activities, except those included in a ‘negative list’ (Table 2):

**Table 2: Negative List of Sub-Projects for Year 2 and Beyond**

<b>Sub-Projects not Eligible for Funding in NCDDP</b>	
1	are not included in the village tract development plan which is endorsed by the TPIC;
2	exclude the poor or marginalized population groups;
3	do not provide equal pay for equal work for women and men;
4	require physical relocation or displacement of any villagers
5	include the payment of compensation for land or asset loss from the proceeds of the World Bank financing or other government sources;
6	finance private goods, private livelihood activities, government offices or religious buildings;
7	do not meet the required technical and quality specifications;
8	have negative environmental or social impacts that are irreversible, create cumulative impacts and/or cannot be adequately mitigated
9	are financed, or scheduled to be financed, by the government or other development partners;
10	contain the purchase or use of drugs, military equipment or other potentially dangerous materials and equipment, including chain saws, pesticides; insecticides; herbicides; asbestos (including asbestos-containing materials); or other investments detrimental to the environment and livelihoods including cultural resources;
11	involve activities that cause or lead to child abuse, child labor exploitation or human trafficking; *
12	finance the construction or rehabilitation of dams (>10 m height);
13	any new construction in protected areas or reserved forests (or proposed protected areas) unless specified as planned investments part of the respective PA management plan  Note: rehabilitation of existing infrastructure which has been already developed (e.g., existing paths or tracks for tourism purposes) is possible if the respective subproject is in line with the park development/management plan, and subject to agreement of Union DRD.
14	involve development of new settlements or expansion of existing settlements in critical habitats, protected areas or areas proposed for certain level of national protection (e.g., reserved forests).  Note: Where settlements already exist, proposals for funding should be in compliance with any local regulations on land management and other provisions of the protected area management plan.

\* No child under the age of 15 should work on the construction, rehabilitation or maintenance of a sub-project.

19. The negative list is also specified in the project Operations Manual. DRD and the World Bank review the positive and negative lists periodically and update them, as needed, based on the experiences gained during implementation and consultations with community facilitators and DRD staff.

20. **COMPONENT 2: FACILITATION AND CAPACITY DEVELOPMENT:** The project invests heavily in local facilitation and capacity development to finance technical assistance and institutional support at the union and township levels, including the hiring of community facilitators for the purpose of supporting the implementation of community driven activities under component 1 and a grievance redress mechanism. In this context, the project will support capacity development in areas such as participatory processes, project management, gender equality and inclusion, environmental management and social accountability for local committee members as well as government staff at the township, region/state and union levels.

21. **COMPONENT 3: KNOWLEDGE AND LEARNING:** This component supports government staff and community and civil society representatives through learning from community based approaches implemented within Myanmar. This will build on successful south-south learning exchanges undertaken during implementation to date to expose government counterparts to successful community driven development approaches in ASEAN countries and other regions. The project will also continue organizing annual multi-stakeholder reviews to share experiences from the previous cycle and discuss ways to improve the project's design and implementation for the next cycle. These reviews will include lessons learned with regard to governance and anti-corruption measures. Moreover, the project will fund an annual "development marketplace" to highlight the most promising innovations in people-centered development in Myanmar with a view to initiating these in the project areas. Finally, a CDD gender network will be established for the project to improve gender equality and women's empowerment.

22. **COMPONENT 4: IMPLEMENTATION SUPPORT:** The project finances the cost associated with DRD project management at the union and township levels, including monitoring and evaluation, reporting and communications as well as administration and logistical support for project implementation. Furthermore, this component will include third-party financial and technical audits.

23. **COMPONENT 5: EMERGENCY CONTINGENCY RESPONSE.** This provisional zero component is added to allow for the rapid reallocation of Project financing from other components in order to provide preparedness and rapid response support to disaster, emergency and/or catastrophic events, as needed.

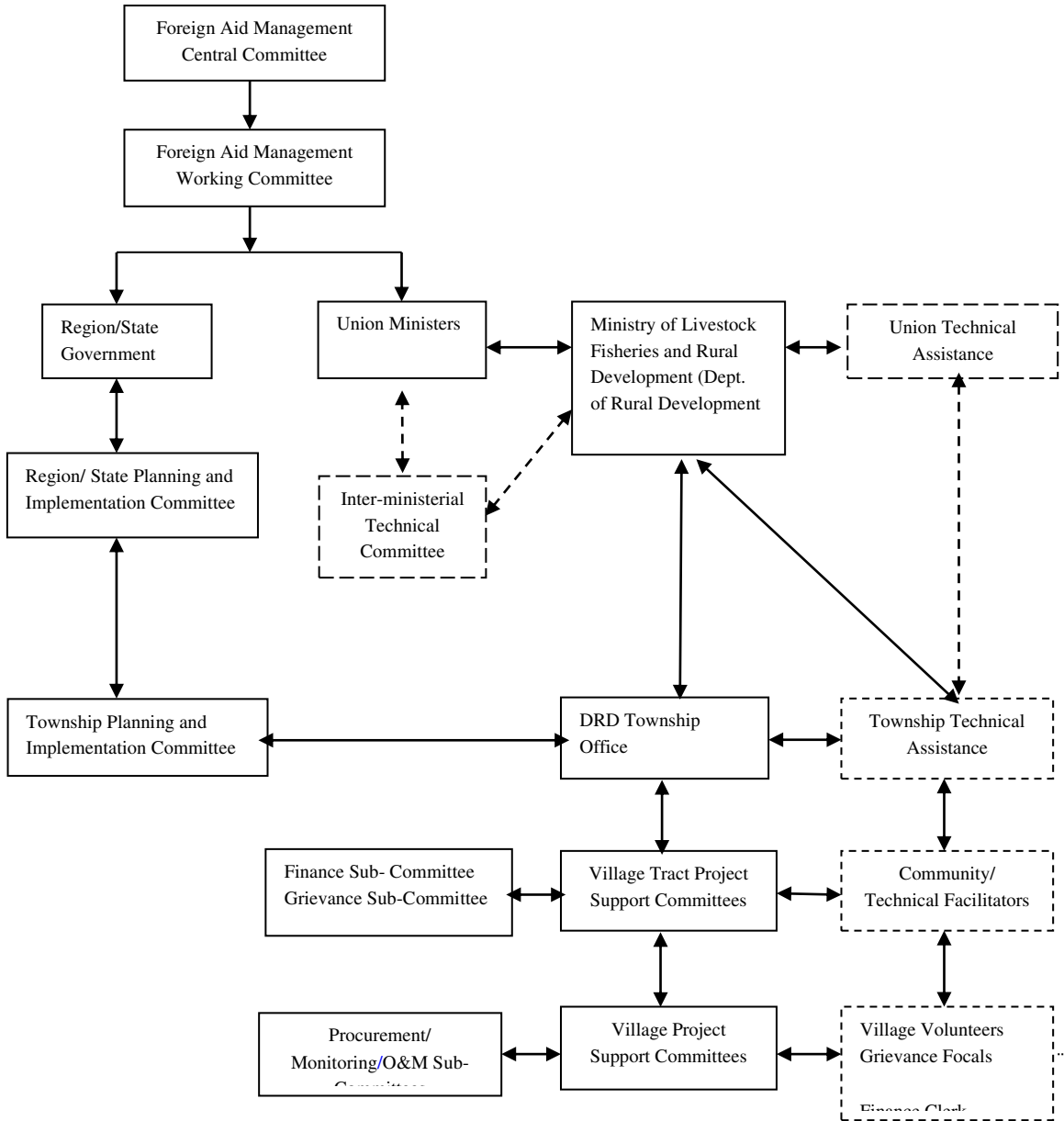
#### **D. Project Implementation Arrangements**

24. The NCDDP is implemented at three levels, namely, the Union and Region/State level, Township level, and Village Tract and Village level. A schematic illustration of the implementation arrangements is provided in the figure below.

25. At the Union level, the Department of Rural Development (DRD) under the Ministry of Livestock, Fisheries and Rural Development implements the NCDDP on behalf of the GoM. DRD, through the CDD Secretariat established in it, is responsible for overall compliance with the project Operations Manual, procurement of consultancy services for technical assistance and institutional support, communications and outreach, and capacity development of all project stakeholders. DRD will also make regular monitoring and supervision visits to project locations, review township monthly reports, resolve management and implementation issues as they arise, and provide a learning feedback loop with the townships. The DRD will provide quarterly progress reports to the steering committee and the World Bank.

26. The DRD at the Union level is supported by the Union Technical Assistance (TA) Team. The Union TA team is led by Team Leader (lead CDD Specialist) and supported by team members including specialists in the areas of procurement, financial management, grievance handling, training, infrastructure and monitoring and evaluation. Responsibility for implementing and ensuring adherence to the ESMF rests with DRD at the union level, supported by the union level TA team and through the day-to-day operations and supervision of DRD at the township level supported by the township TA teams.

**Figure 2: Institutional Structure**





27. The Foreign Aid Management Working Committee is an inter-ministerial committee that includes relevant Union ministers, deputy-ministers and director generals to coordinate development assistance to Myanmar. It serves as the project's steering committee and provides general oversight over the project. It also approves the selection of the participating townships, and advises DRD on implementation matters, facilitates the resolution of any policy level or complex operational issues, and supports and coordinates the involvement of relevant ministries.

28. The inter-ministerial technical committee at the Union level provides a variety of technical assistance related to the project. This committee meets at the DRD office in Nay Pyi Taw on a quarterly basis or as needed, discusses various technical matters relating to the constraints and progress of the project, and coordinates, cooperates and draws the necessary support from related departments.

29. The region/state level authorities play a coordination and oversight role. The respective Region/State Government will select five townships by holding a multi-stakeholder meeting at the Capital of the Region/State, and shall send the five townships selected during the meeting with comments to the Ministry of National Planning and Economic Development and Ministry of Livestock, Fisheries and Rural Development for review and endorsement by the Union level agencies. The region/state DRD offices are responsible for coordination between the respective region/state government ministries and other related departments. As the NCDDP expands, the District level may also act as a coordination point for assistance provided to townships.

30. At the township level, the Township Planning and Implementation Committee (TPIC) and township DRD office (through the township CDD secretariat) assume primary responsibilities for project implementation.

31. The township CDD secretariat, which consists of the head of office, M&E officer, MIS assistant and infrastructure specialist, among other staff, is responsible for project implementation at the township level through its existing offices. Dedicated project and administrative staff are assigned to each township CDD secretariat and provide continuous technical support to community facilitators and village tract committees. They are also responsible for coordinating with government departments and other development partners, as well as monitoring and reporting project activities in the townships.

32. The Township Planning and Implementing Committee (TPIC) is the extension of the existing township aid management sub-committee which is the node where the state and community levels interact both administratively and substantively. This committee and sub-committee bring together a broad range of ministries present at the township level. The TPIC includes line ministry representatives (health, education, agriculture, planning, etc.) and oversees project implementation in the township. The TPIC reviews and endorses the first development plan of each village tract (following the confirmation that all project requirements have been met). Subsequent annual revisions will be sent to the TPIC but will require TPIC endorsement only in cases of significant deviations from original plans.

33. Each Township DRD (township CDD Secretariat) will be assisted by a Township Technical Assistance (TTA) Team which includes a team leader (lead CDD/Training Specialist), M&E Officer, Infrastructure Specialist, Communication Specialist, Community Facilitators and Technical Facilitators. The TTA team is supported by an international CDD Specialist (short term). Among other tasks, the TTA will assist the township CDD secretariat in tracking and monitoring complaints through the project grievance handling mechanism.

34. At the village tract/village level, the Village Tract Project Support Committee and village project support committees are responsible to ensure that the community planning process and sub-project implementation cycle at the village tract and village levels, respectively, are carried out with due

diligence and efficiency and in accordance with the project Operations Manual and ESMF.

35. The Village Tract Project Support Committee will review the respective village development plans and prioritize the interventions against the needs of the tract and the available funding envelope in a 3-year village tract development plan. In each Village Tract, the village tract grievance sub-committee is established under the Village Tract Project Support Committee, whose tasks include supporting the grievance information campaign, monitoring progress of grievance handling activities, and collecting/receiving and responding to complaints/grievances and where necessary, referring such to the township level. The grievance sub-committee is composed of one to two representatives from each village who are not members of the village tract project support committee.

36. At the village level, the Village Project Support Committee is formed and assumes primary responsibility in project implementation at the village level, including the preparation and implementation of sub-projects in line with ESMF. The Village Project Support Committee is responsible for planning, prioritizing and implementing community infrastructure sub-projects. Project staff, notably the Community Facilitators, ensure that the Village Project Support Committee is formed in accordance with the provisions of the project Operations Manual, including ensuring that 50 percent of members are women.

37. The village monitoring sub-committees are established under the Village Tract Project Support Committee and report regularly to the villagers about progress in sub-project implementation. This sub-committee will supervise the implementation of the sub-projects.

38. Village Volunteers will assist the community facilitator throughout project implementation. Among other tasks, they will help enhance the involvement of ethnic minorities in the decision-making process in the village tract project support committees; participation of ethnic minority representatives in village implementation committees and monitoring sub-committees; and the use of local languages in the dissemination of project-related information.

39. The grievance focal point is selected through participatory community meetings. The grievance focal point is responsible for handling grievances at the village level and is the primary contact point for anyone wishing to file a grievance.

**Table 3: Entities Involved in Project Implementation at Village Level**

<b>Name</b>	<b>Membership</b>	<b>Main Functions</b>	<b>Status</b>
<u>Village</u>			
Village Project Support Committee	Based on the Village Tract Development Support Committee elected by groups living in the village with 50 percent of the committee composed of women; supported by village volunteer and community facilitator	Identifying priority needs, participating in sub-project design and screening	Established in villages in the three year 1 townships, about to be established in the six year 2 townships, to be established in subsequent townships
Monitoring and Evaluation sub-committee	2-persons selected from Village Project Support Committee members	Monitoring implementation of sub-projects including safeguards; providing periodic reports to village	Established in villages in the three year 1 townships, about to be established in the six year 2 townships, to be established in subsequent townships

Grievance focal persons	2 persons selected by villages	Resolving community level grievances where possible, providing information about project grievance resolution mechanisms	Selected in villages in the three year 1 townships, about to be established in the six year 2 townships, to be established in subsequent townships
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## E. Applicable National Laws of Myanmar

### *Land Laws*

40. Myanmar does not have a unitary land law but has several laws for different categories of land. All land belongs to the state under the current legal system, and land users receive certificates from the Settlement Land Records Department. The Land Acquisition Act (1894) provides certificates. When private land is acquired or private assets such as trees and standing crops are lost under public or private projects, compensation is paid at market value. The Act also provides that affected people with complaints can bring the case to court.

41. A new Farmland Law was adopted in March 2012 which introduced various reforms such as the recognition that farmland owners are able to sell, mortgage, lease, exchange, inherit or donate all or part of their farmland. There is also the requirement that compensation be paid for both land and buildings attached to it. As for non-agricultural land in rural areas, the Village and Town Act is under revision. The Vacant, Fallow and Virgin Land Management Law, which was also adopted in March 2012], defines legal provisions on unused land.

### *Ethnic Minorities*

42. According to the 2014 census, Myanmar has a population of 51.4 million. The Bamar are the largest ethnic group, comprising around two-thirds of the population, with a large number of ethnic minorities accounting for about one-third. The majority Bamar population mainly lives in the central and delta parts of the country (divided into seven administrative Regions) while the ethnic minorities live mainly, though not exclusively, in the mountainous border areas (roughly corresponding to the country's seven States: Kayah, Kayin, Kachin, Chin, Mon, Rakhine, and Shan). The official population estimates of the main ethnic minority groups are roughly: Shan (9%), Kayin/Karen (7%), Rakhine (4.5%), Chin (2%), Mon (2%), Kachin (1.4%), Kayah (1%). The eight "ethnic races," including the majority Bamar, are subdivided into 135 officially recognized ethnic groups and belong to five linguistic families (Tibeto-Burman, Mon-Khmer, Tai-Kadai, Hmong-Mien, and Malayo-Polynesian); there are no population figures for ethnic minority sub-groups.

43. According to Chapter 1, clause 22 of the 2008 Constitution of Myanmar, the Union Government of Myanmar is committed to assisting in developing and improving the education, health, language, literature, arts, and culture of Myanmar's "national races." It is stated, that the "Union shall assist:

- To develop language, literature, fine arts and culture of the National races;
- To promote solidarity, mutual amity and respect and mutual assistance among the National races; and
- To promote socio-economic development including education, health, economy, transport and communication, [and] so forth, of less-developed National races."

44. The constitution provides equal rights to the various ethnic groups included in the national races and a number of laws and regulations aim to preserve their cultures and traditions. This includes the establishment of the University for the Development of the National Races of the Union which was

promulgated in 1991 to, among other things, preserve and understand the culture, customs and traditions of the national races of the Union, and strengthen the Union spirit in the national races of the Union while residing in a friendly atmosphere and pursuing education at the University. However, the list of recognized ethnic groups has not been updated since 1982.

45. Since independence, there have been recurring conflicts between the Government and a number of ethnic armed groups over a range of issues, including relating to greater autonomy, recognition of cultural rights, and governance of natural resources. The Government's peace initiative, launched in 2011, has seen the conclusion or renewal of a number of ceasefire agreements with ethnic armed groups, although conflict continues in Kachin and northern Shan State. Following a number of bilateral ceasefire agreements between the Government and ethnic armed groups, some ethnic minority groups have been granted authority over political and economic affairs in their areas, which in some cases are sizeable. Social and other public services were developed by ethnic authorities, often with support from NGOs, and are still operating in many areas. There have also been incidents of communal violence related to religious affiliation.

46. Under the current government, free media is developing and ethnic parties and associations are politically active. Ethnic minority organizations may also play a stronger role going forward through the current Government's decentralization efforts which would afford States and Regions to play a more prominent role in decision-making and implementation of various policies and programs.

### ***Environmental Protection***

47. An environmental law became effective on March 30, 2012 but regulations and standards have not yet been issued and/or approved. There are also other laws with environmental policy implications such as the 1992 Forest Law and a number of international laws and conventions that Myanmar has ratified.

### **World Bank Operational Policies**

48. The original NCDDP triggers the following World Bank Operational Policies, namely, Environmental Assessment (OP 4.01), Indigenous Peoples (OP 4.10), and Involuntary Resettlement (OP 4.12). The environmental and social impacts stem from the investments (sub-projects) financed under component 1 (Community Block Grants). The same policies will continue to be triggered for the AF.

49. ***OP4.01: Environmental Assessment.*** This policy requires the environmental assessment of investments proposed for World Bank financing to help ensure that they are environmentally sound and sustainable. The depth and type of analysis depends on the nature, scale, and potential environmental impact of the proposed activities. The environmental assessment process takes into account the natural environment (air, water, and land), human health and safety, social aspects (involuntary resettlement, indigenous peoples, and cultural property), and trans-boundary and global environmental aspects. The Additional Financing as the original project is category B in line with OP 4.01. Given that sub-projects will be identified by communities during implementation, the environmental assessment will follow a framework approach outlined in this ESMF.

50. ***OP 4.10: Indigenous Peoples.*** The policy was triggered for the original project since it was expected that ethnic minority communities would be present in the project areas of influence. The policy will be applied for the AF and other financing too since the expanded geographical coverage under the AF will likely include areas where ethnic minorities are present, although the exact list of townships where the AF would be implemented will be determined during implementation. The project will continue participatory social assessments (SA) in all project villages. With the support of community facilitators, ethnic screening and free, prior and informed consultations will be conducted with villagers, including ethnic minorities, leading to broad community support for proposed sub-projects. The key principles, processes and procedures for the participatory SA, including the participation of ethnic

minorities, are described in more detail in the project Operations Manual.

51. **OP 4.12: Involuntary Resettlement.** As under the original project, most sub-projects to be financed under the AF will support the rehabilitation of existing small-scale rural infrastructure or its minor improvement, and are unlikely to require acquisition of private land or loss of private assets. However, since sub-projects are developed on a demand driven basis, minor land acquisition or loss of assets cannot be fully ruled out. For this reason, OP 4.12 is triggered to the AF. Sub-projects are screened for land-related impacts and, if any land acquisition or asset loss is found to be unavoidable, measures to mitigate such impacts are developed and implemented. It is expected that almost all impacts be addressed through voluntary donations by the affected people. If their informed consent to donate assets is not obtained, an abbreviated Resettlement Action Plan (RAP) will be developed as per the policies and procedures laid out in the ESMF. In exceptional cases where project impact is significant, a full RAP is developed

## **F. Safeguard implementation experience and lessons learned**

52. Since the original NCDDP became effective in January 2013, the project Operations Manual (POM) was developed to provide details about the application of policies and principles on social and environmental management outlined in the ESSAF. The POM was reviewed and cleared by the Bank. It was updated in the fall of 2014 following the first community cycle and drawing on lessons from this experience and from the project's social audits and multi-stakeholder reviews. In this section, the experience of safeguard implementation under the original NCDDP is described.

### **Environmental Assessment (OP 4.01)**

53. The Environmental and Social Screening and Assessment Framework (ESSAF) and Environmental Codes of Practice (ECoPs) were the main environmental safeguards documents used to assess and mitigate impacts for subprojects funded during year 1. In addition, national design standards and design codes used by the Department of Rural Development (DRD) for small scale infrastructure were applied for subprojects implemented under the year 1. Given the limited environmental impact, none of the subprojects used Environmental Management Plans (EMP). During the planning phase, DRD engineers, Technical Facilitators (TF) and Technical Assistance (TA) infrastructure specialists used the ESSAF and ECoP to support communities in subproject design. About half of the subprojects were implemented by contractors, while the other half was implemented by communities themselves using community force accounts. The ECoP tool was more broadly used by contractors/ communities, DRD officers, Community Facilitators (CF) and TA staffs during subproject implementation (e.g., related small scale civil works implementation). DRD prepared the checklists for ECoP implementation, quality and supervision, and contact management to better monitor overall subproject implementation.

54. A technical review<sup>4</sup> conducted in August, 2014 found that over 90 percent of the inspected subprojects adequately complied with the ESSAF and/or ECoP. It also confirmed that EMPs were not needed for these sub-projects given the limited scale of the associated environmental impacts. However, three subprojects were rated "poor" in terms of technical quality and were found to be non-compliant with ESSAF. They include one subproject which did not comply with environmental safeguards provisions (see below), and two subprojects with unequal labor payment for men and women.

55. The Ma Kyauk Ahr footpath subproject in Kanpetlet township aimed to widen the current footpath which connects the village to the township and which had been constructed initially through a protected

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<sup>4</sup> The technical review was conducted by an individual consultant hired by DRD who audited the technical quality of a small sample of sub-projects implemented under the first cycle. Nine percent of the cycle 1 subprojects in Kanpetlet, Namhsan and Kyunsu were inspected including subprojects of each major subproject types. The list of sub-projects inspected is provided in Annex 5. A technical audit of a larger sample of subprojects is planned for 2015.

forest area. Two months after the subproject completion, there had been landslides and erosion issues in the subproject area of intervention, which could not be mitigated promptly (e.g., constructing erosion protection embankments; or temporarily supporting the side slopes). The Village Project Subcommittee reported that the footpath will be repaired in the dry season but still without slope and embankment protection, since the original design did not take these aspects in consideration. Without a revision of the subproject design, the erosion and landslides issues will reoccur in the following rainy season and the investment will be lost eventually. The technical review noted that the design of this subproject should have considered the environmental characteristics of the existing footpath area and included findings of environmental screening before works were commenced. While the ECoP forms included consideration of impacts from landslides and possible mitigation measures, the final design did not include these aspects. Consequently, this subproject was considered in noncompliance with environmental safeguard provision implementation.

56. Reflecting the year 1 experience, the Operations Manual was revised, including with the following changes relevant to environmental safeguards:

57. Three additional points have been included in the negative list, namely 1) financing dams; 2) road construction or rehabilitation of any kind inside critical habitats and existing or proposed protected areas; 3) development of new settlements or expansion of existing settlements in critical habitats, special forest reserve; protected areas or areas proposed for protection. The negative list also continues to specify that hazardous materials and equipment is not to be used in the project. This includes chain saws, pesticides; insecticides; herbicides; asbestos (including asbestos-containing materials); or other investments detrimental to the environment and livelihoods including cultural resources property (national level historical or religious objects).

58. New forms reflecting these points are attached in the annexes. In addition, the final sub-project inspection form (PC 10) added a section to describe environmental impact of the subproject.

59. Before starting the new cycle, DRD's international technical consultant and the union TA infrastructure specialist conducted a series of safeguard training for union and township DRD engineers, TA infrastructure specialists and TFs on 1) safeguards policies; 2) technical learning (findings from the technical audit; case studies of community constructions/designs from neighboring countries; community training); and 3) the updated operations manual. (See list of training in annexes.)

#### **Indigenous people (OP 4.10)**

60. A participatory Social Assessment (SA) was conducted as part of the village planning processes, including an ethnic screening. In year 1, these showed that many project beneficiaries were ethnic minorities. The table below provides a list of ethnic groups and the number of ethnic beneficiaries found to be present using the participatory SA in the year 1 townships.

**Table 4: Ethnic beneficiaries in Year 1 townships**

Kyunsu	Bamar 129,956; Kayin 10,111; Gheko 1,500; Rongtu 673; Salon 460
Namhsan	Palaung 6,614; Shan 2,323; Lisu 1,815; Bamar 647; others 225
Kanpetlet	Dai (Yindu) 8,591; Chin 3,403; Oo-Pu 3,196; Ngom 1,875; Bamar 31; Lai 9; Gwete 7; Rakhine 5; Sentang 5; Zahnyet 1;

61. The result of participatory SA indicates that ethnic minorities participate in and receive benefits from NCDDP. Ethnic screening was conducted with the participation of almost all village households, and no discriminatory treatment of ethnic minorities was reported. Social audits conducted between June and August 2014 also did not find any grievances or complaints from ethnic ethnicities.

62. The summary of the original project Operations Manual was translated into Shan language, and project posters and the Operations Manual were translated into Palaung, Hakha, and Chin languages. Since diverse ethnic groups are present in project townships and many of them do not have their own writing systems, translation of all relevant project documents has been found to be challenging. Also, many local people are not literate in their own writing systems even where they exist (since government schools offer instruction in Burmese only), and those who are literate in ethnic writing systems tend to be literate in Burmese too. Properly translating project documents into ethnic languages is also found to be challenging as many ethnic languages do not have equivalent vocabularies or expressions for many of the new concepts and terminologies provided in project documents. A large number of documents and forms are developed for the original NCDDP, which increased the challenge of translating relevant project documents into ethnic languages.

63. In order to address the issue with regard to the translation of project documents into ethnic languages, the following has been agreed to be conducted going forward.

64. The list of key project documents that are to be translated into local languages should be developed by DRD, and the ethnic minorities present in the township, local languages in use and appropriateness/ feasibility of translation should be identified by townships under the support of township TA. Key project documents to be translated will include this ESMF, and may include the approved village tract development plans<sup>5</sup> in addition to voluntary donation forms as well as abbreviated Resettlement Action Plan (RAP), or full RAP in those exceptional cases where RAPs are needed. It was agreed that such lists should be developed in consultation with key stakeholders. DRD will seek inputs from participants at the safeguard consultation meetings to be held for the AF and agree on which project documents should be translated.

65. Continued emphasis will be placed on ensuring that ethnic beneficiaries/affected people understand the project concept and approach including on environmental and social safeguards. The experience under the original NCDDP indicates that it is most meaningful and practical that project approaches including safeguard provisions are explained to ethnic people orally and with visual materials. In Cycle 1, Community Facilitators and Technical Facilitators in all project townships included those who could speak major ethnic languages, which was found to be useful to ensure that those who directly benefit from/are affected by the project understand safeguard provisions. Going forward, continued efforts will be made to develop more visual materials in all major ethnic languages to help ensure ethnic minorities understand the project safeguard provisions.

### **Involuntary Resettlement (OP 4.12)**

66. The ESSAF provided measures to comply with the Bank's OP 4.12, including the prohibition of any sub-project that requires involuntary land acquisition (including involuntary asset loss) during the first community cycle in each township.

67. As can be seen in the table below, a very small number of households were negatively affected in Cycle 1, and all these households voluntarily contributed their land and/or assets. The technical audit carried out in August 2014 and the social audits carried out between June and August 2014 confirmed that all affected households willingly and knowingly donated land or assets, and did not find any outstanding grievances. The implementation support mission conducted in July 2014 found overall compliance with ESSAF, and confirmed that affected people had voluntarily donated land or assets. Overall, voluntary donation forms were properly prepared and signed by the affected people, although in some instances both voluntary donation forms and involuntary donation forms were prepared (even though assets were donated voluntarily). One recommendation following from cycle 1 was to further

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<sup>5</sup> The translation of the village tract development plans into ethnic languages is required under the original ESSAF, however, it was not fully complied with in Cycle 1.

strengthen the knowledge of Technical Facilitators (TF) and Community Facilitators (CF) both on safeguard documentation and on overall safeguard processes. This will be particularly important as communities move to an open menu in Cycle 2 onwards. To limit potential safeguards risks associated with sub-projects, the revised Operations Manual includes a relatively low budget ceiling of 110 million kyats (ca. \$110,000) for sub-projects, and specifies that sub-projects exceeding 40 million kyats (ca. \$40,000) receive a prior approval from the union DRD and no objection from the World Bank, allowing for upstream monitoring of higher risk sub-projects.

**Table 5: Number of cases of land contribution by township**

<b>Township</b>	<b>Number of subprojects with land contribution</b>	<b>Number of affected HHs</b>	<b>Number of HHs requested for compensation</b>
<b>Kyunsu</b>	6	6	0
<b>Namhsan</b>	11	22	0
<b>Kanpetlet</b>	7	41	0

68. In order to address the issues found under the Cycle 1 implementation, the following will be carried out under the AF:

69. **Safeguard training will be provided to key township DRD staff as well as all Community Facilitators and Technical Facilitators.** This will help strengthen their knowledge of both safeguard documentation and safeguard measures for involuntary land acquisition. In particular, knowledge and skills on the estimation of project impacts as well as the determination of their replacement values will be strengthened.

70. **Technical audits and social audits will be further strengthened to ensure any social impacts that remain to be addressed during implementation of sub-projects will be swiftly identified and duly addressed.** The knowledge of potentially affected people in safeguard provisions will be strengthened as more visual materials (including in major ethnic languages) will be introduced and used as part of the participatory SA.

#### **Experience with regard to the project Grievance Handling Mechanisms (GHM) and the findings of Social Audits**

71. The original NCDDP established a project Grievance Handling Mechanism (GHM) in line with the provisions in the ESSAF. Details of the GHM are provided in the project Operations Manual, and a summary is provided in Section J of this ESMF.

72. During the first annual Cycle (Cycle 1), 318 grievances were received. Of the grievances received, 270 were found to be relevant to the project, and 97 percent of relevant grievances were addressed. Grievances received included complaints about poor consultation mechanisms, doubts about the VPSC's project management, financial and procurement issues, and complaints about village committee member's integrity. 89% of the grievances were reported by community members and the rest were from township DRD and TA staff. 64% of the grievances were handled at the township level and one third at the union level. 76 percent of grievances were reported in written forms through letters, using forms and pre-addressed envelopes and drop boxes installed in every project village.

73. Since the basic institutional infrastructure of the project GHM has been established by now, continued efforts will be made under the AF to strengthen the capacity of DRD at the township and union level to properly address grievances. Also, CF will follow up with those whose grievances are not found to be relevant to determine if they are content with the explanation given or have additional information to strengthen their cases.



74. Social audits were carried out between June and August 2014, as provided in the ESSAF. In total, 143 social audit meetings were carried out in 69 village tracts in all three Cycle 1 townships, with the participation of over 10,000 villagers. A Social Audit Kit was developed by the union DRD and community facilitators received training prior to the social audit.

75. Overall, the social audit found that the overwhelming majority of community members affected by the NCDDP positively evaluated the processes used under the project as well as the results achieved. No major environmental or social issues were identified in the social audit. Typical comments received are:

- (a) Greater support is necessary from the village administration,
- (b) The frequency of meeting should be reduced or the timing be better coordinated with the daily schedule of villagers;
- (c) Knowledge of villagers on social and environmental issues should be strengthened;
- (d) Villagers should receive more training in the GHM;
- (e) Grievance processing time should be more expedited; and
- (f) Participation of village elders in the GHM should be strengthened.

76. The social audit also found that in Kyunsu township, 48 grievances were registered of which 80 percent had been resolved. Those grievances that remained to be resolved concerned the re-election of committee members, cost increases and requests for more transparency in decision processes and for more active participation of committee members.

77. The social audits will be repeated on an annual basis in all project townships, taking into account the lessons learned from previous years. In particular, the social audits will be strengthened to address the following issues more clearly:

- (a) The performance of the GHM and the grievances that remain to be addressed, if any, should be more explicitly explored. The social audit was carried out in an expedited manner since the rainy season was about to start, and as a result, issues related to grievance were actively explored only in Kyunsu. In the future, social audits will encourage participants to discuss issues related to the GHM.
- (b) The social audits should address compliance with ESMF more directly. The social audits focused more on community satisfaction with project processes and results due to limited time available. In the future, social audits will be designed to more directly review compliance with the ESMF.

## **G. Approach/Procedures to Addressing Environmental and Social Safeguard Issues**

78. This ESMF provides general policies, guidelines and procedures to ensure that the NCDDP will continue to be implemented in an environmentally and socially sustainable manner and in line with the applicable World Bank safeguard policies. They are mostly identical as those provided under the ESSAF, although some new provisions are introduced based on experiences from Cycle 1. Specifically, the ESMF, as did the ESSAF, aims to achieve the following:

- a. Minimize potential negative environmental and social impacts;
- b. Enhance positive environmental and social impacts wherever possible;
- c. Ensure that ethnic minorities are meaningfully consulted and that they receive project benefits in a culturally appropriate manner;
- d. Prevent and, where unavoidable, fully compensate loss in livelihoods associated with or caused by the project; and

- e. Develop the capacity of DRD to manage environmental and social impacts in partnership with the affected communities.

79. All elements of the social assessment required under OP 4.10 and the approaches to ensure free, prior and informed consultations with ethnic minorities are part of the participatory social assessment (SA) and described in this ESMF. The policies and procedures to mitigate social impacts due to loss of private assets are developed in this ESMF in line with OP 4.12. A separate Indigenous Peoples Plan or Resettlement Policy Framework will not be developed, consistent with the approach taken by the original NCDDP.

## **Key Steps**

### ***Step 1 – Identification of Sub-projects***

80. *Participatory Social Assessment (SA), ethnic screening and identification of priorities at the village level.* A series of village meetings is held in all beneficiary villages with the support of the Community Facilitator (CF) where a participatory SA is conducted and villagers identify priority needs, develop village development plans and elect village volunteers and their representatives to the VTPSC. The participatory SA also includes the screening for the presence of ethnic groups in the project area. If ethnic minority communities are found to be present, their socioeconomic conditions and participation in community decision making processes as well as their perspectives on the overall project approach will be assessed. Free, prior and informed consultations will also be conducted with them to establish their broad community support to priority issues, village development plans and sub-projects to be proposed to the VTPSC.

81. *Consolidation of village priorities in village tract development plans.* The VTPSC will consolidate the village development plans into village tract development plans which include the list of priority sub-projects. Free, prior and informed consultation of the village tract development plans and the consolidated priorities and sub-projects therein included are conducted with ethnic minorities present in the village tracts.

82. *Endorsement of village tract development plans.* The township planning and implementation committees (TPIC) will review the village tract development plans against existing sector plans and other known assistance, and endorse them. Copies of approved plans are made available in the local language(s) at the village tract office and in places convenient to the local population in all villages that constitute the village tract. Where translation into local languages is difficult because relevant ethnic groups in the village tracts do not have writing systems or due to other technically valid reasons, at least the summary of the approved village tract development plans, including the list of approved sub-projects, should be described in a short brochure, posters or other information materials and displayed on notice boards in all villages as well as the village tract offices.

83. *Handling complaints.* The VTPSC will report back to the villagers once the TPIC has approved the village tract development plan. If there is a disagreement by the TPIC with regard to the priorities presented in a village tract development plan, the VPSC will re-assess priorities and submit a revised plan to the township level for endorsement, as warranted.

84. *Amendment of village and village tract development plans.* Villagers and the respective VTPSC will re-evaluate the development plans annually and adjust them as needed. The adjusted plans will be endorsed by the TPIC if there are major changes. Each time the village and village tract development plans are updated, free, prior and informed consultations will be carried out with beneficiary communities and with ethnic minorities to ensure their broad community support to the updated plans.

## ***Step 2 – Screening of Potential Environmental and Social Impacts and Determination of applicable Safeguards Instruments***

85. *Safeguard screening.* The DRD engineers, in partnership with the VTPSC, VPSC, community facilitators and technical facilitators, will carry out the environmental and social screening, using the screening sheet that is included in the project Operations Manual as part of the preparation of detailed designs.

86. *During the first year of project implementation in each township, using the year 1 positive list,* the screening focuses only on confirming the eligibility of the proposed sub-project activities. For those sub-project activities that are eligible for financing in year 1, only the Environmental Code of Practice (ECoP) no. 1 is used to mitigate the potential impacts of these sub-projects (Table 4).

87. *For those activities eligible for financing in year 2 and beyond,* the environmental screening focuses on four areas: (i) based on the open menu, confirming whether the proposed sub-project is eligible for financing; (ii) using the screening form to determine potential impacts from the sub-projects; (iii) determining whether or not ECOP no. 1 or no. 2 suffices to mitigate these potential impacts; and (iv) identifying what additional mitigation measures, if any, beyond those contained in the ECOP may be needed to manage the impacts.

**Table 6: Environmental Codes of Practice**

<b>No.</b>	<b>Description<sup>6</sup></b>
1.	Environmental management measures for activities in Year 1 focusing on eligible rehabilitation and minor extension works only (eligibility based on the Positive Lists)
2.	Environmental management measures for activities in Year 2 and beyond focusing on eligible small new construction works (eligibility based on an open menu, within the restrictions of the negative list outlined in table x above)

88. *Environmental Management Plan.* If additional measures are required beyond what is already contained in the ECoPs, a simple Environmental Management Plan (EMP) will be required as a safeguard instrument. An EMP will identify potential site specific impacts that cannot be adequately addressed through the application of the ECoPs and indicate when, by whom, and how the mitigation measure(s) will be applied. The EMP will also specify required monitoring. For example, a simple EMP may be used for road construction. A sample EMP is included in the project Operations Manual.

89. The community facilitators (CF) and technical facilitators (TFs) will provide the necessary technical guidance so that VTPSC members can review the safeguard screening sheet in line with the project Operations Manual and this ESMF. The approved safeguard screening sheet in the local language will be available with the detailed project designs in the beneficiary village(s). Furthermore, villagers will be given the opportunity to address questions and concerns to members of the village implementation committees.

90. If the safeguard screening finds that some minor impacts cannot be avoided, the VTPSCs will develop measures to address such impacts. No major impact beyond the loss of small numbers of trees, fences or other non-residential structures or the acquisition of small strips of private land is anticipated. Impact on private asset may be addressed either through: (i) voluntary donation or (ii) compensation at replacement cost. Proceeds from the World Bank financing cannot be used for compensation.

91. *Voluntary donation.* The NCDDP will continue to allow community members who benefit from a sub-project to donate land and other private assets to the sub-project without compensation. It is expected that most project impacts will be addressed through voluntary donation without any significant or long-term impact on livelihoods. The following protocol will govern voluntary donations of private assets.

<sup>6</sup> The Environmental Codes of Practice are specified in detail in the project Operations Manual.

- Voluntary donations are an act of informed consent and affected people are not forced to donate land or other assets with coercion or under duress, or misled to believe that they are obliged to do so.
- Voluntary donations are allowed only if a sub-project can technically be implemented in another location than where it is planned – if a sub-project is location-specific by nature, land acquisition associated with such a sub-project cannot be considered as voluntary; rather, it is an act of eminent domain. In such cases, an abbreviated RAP or a full RAP, as applicable, will be developed.
- Voluntary donations are allowed only for very minor impacts that meet the following criteria:
  - The households contributing land or other assets are direct beneficiaries of the sub-project;
  - The total size of productive land owned by the affected household is more than 300m<sup>2</sup>;
  - The impact is less than 5 percent of the total productive assets owned by said household; and
  - No one has to be physically relocated.
- The affected people are fully informed that they have the right to refuse to donate land or other private assets, and instead receive compensation at replacement cost, and that a grievance handling mechanism is available to them through which they can express their unwillingness to donate. People are encouraged to use the grievance handling mechanism if they have questions or inquiries, either in writing or verbally. Adequate measures will be in place to protect complainants.
- The community facilitator (CF), village representatives of VTPSC and the VPSC will confirm through a face-to-face meeting that the affected people are indeed aware that they are entitled to compensation and knowingly and freely agree to donate land or other assets without compensation. The minutes of this meeting, including the confirmation that all conditions for voluntary donations in this ESMF are met, will be attached to the signed voluntary donation form.
- Once the informed consent of the affected people has been confirmed in writing, the VTPSC will develop a voluntary donation form.<sup>7</sup> Both the husband and the wife of the affected household will sign two copies of the form in the presence of the CF and the village implementation committee.
- The VTPSC reviews and approves the signed voluntary donation form, and keeps one original signed voluntary donation form for review by DRD and the World Bank. The affected household keeps another original signed form.
- Implementation of sub-projects involving voluntary donations starts only once the VTPSC has approved the signed voluntary donation forms.
- Annual social audits carried out by the DRD township offices verify the informed agreement of affected people.

92. *Compensation at replacement cost.* If affected people are unwilling to donate assets without compensation, or if impacts that go beyond the threshold for voluntary donations occur, the VTPSC, with the support of the CF, will develop an abbreviated RAP. Detailed processes and procedures for the

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<sup>7</sup> The project operations manual contains a format for a voluntary donation form.

preparation of an abbreviated RAP and a full RAP, including consultation and disclosure requirements and table of contents of these RAPs, are included in the project Operations Manual. Furthermore, the processes and procedures for voluntary land donation and involuntary land acquisition including grievance redress are summarized in a pamphlet in all applicable local languages and distributed in all participating villages.

### ***Step 3 – Development of Safeguard Instruments***

93. If the safeguard screening finds that land acquisition or loss of private assets is unavoidable and if voluntary donation does not apply, the VTPSC, with technical inputs from the DRD engineer and the support of the TF, will prepare a resettlement instrument (an abbreviated RAP or a full RAP). All village representatives will receive safeguards training. Also, basic processes and procedures with regard to social and environmental safeguards will be displayed at a notice board in all project villages.

94. When sub-project documents<sup>8</sup> and applicable resettlement instruments are drafted, members of the VTPSC including the representatives from the beneficiary village, the DRD engineer and the technical facilitator will visit the sub-project site and carry out a half-day consultation with the village implementation committee. During the consultation meeting, the final sub-project documentation is presented together with the draft detailed design. Inputs from the village implementation committee will be sought regarding whether or not all potential impacts are adequately covered and mitigated, and whether adequate measures are incorporated in the design to meet the special needs of affected people and disadvantaged groups, including in particular ethnic minorities. The final sub-project documentation that is submitted to the VTPSC for approval incorporates the inputs from villagers, and the result of the meeting is documented and kept in the project file.

95. The resettlement instruments developed for a sub-project are reviewed and approved by the VTPSC and endorsed by the Settlement and Land Record Department under the Ministry of Agriculture and Irrigation prior to its implementation.<sup>9</sup> Copies of approved abbreviated RAP or a full RAP will be made available at the village tract office and in easily accessible places in the villages where the sub-project is implemented, with a summary translated into the local language(s).

96. The main environmental safeguards instruments used for subproject implementation and monitoring are the ECoPs. If additional impacts are envisaged for which specific mitigation measures are required beyond what is included in the ECoPs, a simple EMP will be prepared. The EMP will also provide monitoring indicators and activities of the proposed mitigation measures as well as estimated costs to implement such activities (see Annex 3 for EMP format).

### ***Step 4 – Implementation of Safeguard Instruments, Supervision, Monitoring and Evaluation***

97. Each VTPSC is responsible for the implementation of the sub-project safeguards instruments including the ECoP (and EMP if required), voluntary donation forms, abbreviated or full RAPs, as applicable, according to the policies and procedures laid out in this ESMF. The VTPSC will ensure that no physical land acquisition or relocation of affected people commences before an abbreviated RAP or RAP has been implemented, or before the voluntary donation form is signed by the affected household(s) and reviewed and approved by the VTPSC.

98. Village monitoring sub-committees, in collaboration with CF and village volunteers, monitor the implementation of the safeguards instruments, including the ECoP (and EMP if required), voluntary

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<sup>8</sup> The final sub-project documentation includes the detailed engineering design, cost estimates, civil works documents (bill of quantities (BoQ), draft civil works contract, etc.), screening forms, the ECoP (and EMP if required), operations and maintenance requirements and plans, minutes and record of attendance of consultations, and applicable the resettlement instruments.

<sup>9</sup> The Settlement and Land Record Department is responsible for compensation under national legislation.

donation forms, and/ or abbreviated or full RAPs. The village monitoring sub-committees confirm the proper application of the instruments and notify the VTPSC that a sub-project is ready for implementation. The implementation of sub-projects involving voluntary land donation, involuntary land acquisition or asset loss start only once this confirmation is given.

99. Throughout the implementation of a sub-project, the village monitoring sub-committees and CF/TFs monitor any negative impacts that may arise. CF will regularly visit villages and receive feedback. If villagers have any questions or grievances that cannot be addressed at the community level, they will be encouraged to seek clarifications and solutions through the project's grievance handling mechanism.

100. Social audits will be conducted on an annual basis and facilitated by the township DRD and TA team. For the social audits, CFs will organize an open public meeting at villages (in remote areas, several villages may meet together for a social audit where convenient); information on the meeting is posted in advance and meetings are held at such a time and place as to maximize community participation. The purpose of the social audit is to report back to the population living in the village tract on past year's progress, the expenditures under the village tract development plan, and any financial and technical audit findings, and to hear reflections from community members on lessons learned and things that could be done differently in future cycles. The meeting is attended by the village volunteers, CF, DRD staff and VTPSC members. It provides a public forum to present problems, and air any grievances or other issues people may have with the project. The CF will prepare minutes of the meeting that record the issues raised and how they will be addressed in the subsequent annual cycle. This information will be included in the updated village tract development plan, submission of which to the DRD township office is a condition for the transfer of the next annual block grant allocation.

101. The VTPSC will summarize environmental and social safeguard related activities in their monthly reports to the township DRD office. These reports will also include a short report on any environmental mitigation plan, voluntary donation, and abbreviated or full RAP (if relevant) that have been completed during the reporting period.

102. The World Bank reviews the use of safeguards screening forms, environmental management plans, voluntary donations, abbreviated RAPs and the use of the ECoPs on a random basis and carries out field trips as part of supervision missions to verify safeguard compliance in line with ESMF and other relevant project documents.

### **Special Measures to Ensure Full Participation of Ethnic Minorities**

103. In order to mitigate the risk that ethnic minorities are not able to fully participate in project implementation and receive project benefits, the following special measures will continue to be employed by the NCDDP:

- Recruitment of village volunteers elected from among ethnic groups who assist the community facilitator throughout project implementation;
- Training of CF/TF to increase cultural awareness of issues related to ethnicity, religion and marginalization;
- Free, prior and informed consultations with ethnic minorities of the village and village tract development plans;
- Involvement of ethnic minorities in the decision-making process in the VTPSC;
- Qualitative monitoring and beneficiary assessments focusing primarily upon societal dynamics and ethnic groups, women, and the most vulnerable, using focus group discussions and key informant interviews;
- Use of local languages in the dissemination of project related information.

104. These special measures are spelt out in the project Operations Manual.

### Special Measures to Ensure Full Participation of Women

105. The NCDDP will continue the practice of having trained CF and village volunteers organize separate meetings with women and men to identify their respective needs and priorities for the village development plan and document these in the project’s management information system. For works performed for sub-projects, there will be equal pay for equal work for women and men. Furthermore, the environmental and social safeguards screening for each sub-project will include gender aspects. Safeguards plans prepared for the sub-projects will include a review of gender aspects, and propose specific actions related to gender issues when warranted. The CF and village volunteers will also ensure that there are no restrictions on women’s participation and that women are represented in the village implementation committee and various sub-committees, with women accounting for 50 percent of committee members.

### H. Institutional Assessment and Capacity Building

106. A capacity development needs assessment was conducted during preparation of the initial IDA grant and updated following the first community cycle. The results of this assessment are presented in Table 7.

**Table 7: Institutional Capacity Assessment and Training Needs for Sub-Projects**

Institution		Sub-project panning	Design	Review, appraisal and approval	Implementation	Operations and maintenance
DRD (union level)	Responsibility		Master/schematic designs and documents, including ECoPs	-	-	-
	Staff Assessment	Engineers available				
	Technical Assistance	Technical capacity adequate, additional engineers not required				
	Training needs	Training on ESMF, ECoPs, EMP, consultations, and documentation, etc. Training on ECOPS required				
DRD (township level)	Responsibility	Technical review of sub-project proposals	Revising standard documents, screening, use/referencing of ECoPs, EMPs, measurement of impact, production of detailed designs in consultation with villagers	Yes	Yes – oversight monitoring	Yes – oversight, periodic monitoring
	Staff Assessment	Engineers available (consisting of township sector engineers) but often junior, with significant gaps in knowledge of applicable safeguard policies. In addition, engineers not sufficient in number to supervise implementation of all sub-projects in a township. Additional support being provided under NCDDP by technical facilitators.				
	Technical Assistance	Technical capacity adequate but requires training in specific requirements of Operations Manual, including applicable safeguards procedures. Community facilitators and technical facilitators support DRD engineers and lead engagement with villages, including on applicable safeguard policies such as minor repair and operational guidance during sub-project implementation.				
	Training	Training of township engineers and community and technical facilitators on				

Institution		Sub-project panning	Design	Review, appraisal and approval	Implementation	Operations and maintenance
	needs	ESMF, ECoPs, EMP, consultations, documentation, etc. Training of and facilitation for township engineers and community facilitators on continuous engagement with villagers on operations and maintenance.				
Village Tract Project Subcommittee	Responsibility	Development of village tract development plan, selection of sub-projects, review and approval of sub-project proposals, safeguards screening, voluntary donation form, abbreviated RAP or RAP, as applicable.				
	Staff Assessment	No technical staff or capacity and a significant gap in knowledge of applicable safeguard policies. Low literacy levels.				
	Technical Assistance	Community facilitators provide continuous support throughout implementation, including on applicable safeguard policies.				
	Training needs	All members of the VTPSC on all aspects of the ESSAF, ECoPs, consultations, documentation, etc.				
Village Project subcommittee	Responsibility	Decision-making authority for all aspects of sub-project planning, review and oversight.				
	Staff Assessment	No technical staff or capacity and a significant gap in knowledge of applicable safeguard policies. Low literacy levels.				
	Technical Assistance	Community facilitators provide continuous support throughout implementation. DRD township engineers provide continuous support for the design, operations and maintenance of sub-projects				
	Training needs	Key members of the village implementation committees on all aspects of the ESSAF, ECoPs, consultations, documentation, etc.				

107. To address the capacity constraints identified above, the NCDDP invests heavily in capacity development at all levels to ensure that sub-projects are implemented in an environmental and socially sustainable manner and in line with ESMF requirements. The materials for training at the community level are simple (including simplified sections of the project operations manual kept at the community level for reference during sub-project implementation), illustrated to be accessible also to community members who are illiterate (comics, illustrations and photos on grievance handling, fraud and corruption issues, and safeguard requirements) and translated into all applicable local languages.

108. In each of the participating townships, the initial months of operation are devoted to capacity development. The DRD secretariat supported by the TA at the union level trains the DRD and TA staff at the township level. The township DRD offices and TA thereafter train the community and technical facilitators in all relevant areas of the project Operations Manual. Only at this stage does the project cycle at the community level begin, starting with the first village meeting. The township DRD offices, the TA and the CFs provide specific training for those villagers taking an active role in implementation, including the village volunteers and the members of the VTPSC, village implementation committee and various sub-committees. Capacity development activities for community members and DRD staff are undertaken regularly and as needed, including refresher training and township cross-visits prior to each new annual block grant cycle.

109. Training materials continue to be updated based on lessons learned in project implementation. This includes an update following the first cycle taking into account insights gained from the social audits and multi-stakeholder reviews, as well as findings of the financial audit and the independent technical review commissioned by DRD. As a result of these lessons, training materials were updated and time dedicated to training expanded, including for community and technical facilitators, township level DRD and TA staff, and training provided at the community level.

## I. Monitoring Arrangements

110. Community level: Based on the village sub-project work plan outlined at the initial technical meeting, the village monitoring sub-committee (MSC) monitors progress in implementing the village



sub-project. If a village sub-project benefits directly more than one village or covers more than one village tract within a township, MSCs of the benefiting villages will jointly monitor implementation progress. As under the original NCDDP, during construction, normally on a monthly basis, the MSC will review actual vs. planned activities using a village sub-project monitoring form and submit the form to the VTPSC. The MSC also monitors progress in implementing any environmental and social mitigation measures. Monitoring reports will be publicly displayed on the village notice board. Village sub-project monitoring forms will capture information that is consistent with the project results framework. The VTPSC will prepare a monthly consolidated report for all village sub-projects under implementation and submits it to the DRD township M&E officer. With the assistance of the village volunteers, the MSC organizes a village monitoring meeting about every two months or when major milestones have been achieved. Every effort will be made to ensure that as many villagers as possible will attend the meeting. The MSC will update villagers on all aspects of implementation progress (procurement activities, percent of works undertaken, number of person days of work and wages paid, expenses to date and cash on hand, women's involvement, safeguards and mitigation measures, etc.). Villagers will be given opportunities to discuss progress and raise any concerns they may have regarding village sub-project implementation.

111. Township level: Township Engineer, Township TA, CF and TF will continue to monitor subprojects regularly, as under the original NCDDP. The township engineer and DRD township office M&E officer will undertake regular supervision visits to the village sub-project sites. They will prepare and post a brief note to the file after completion of every visit, using a standard table/matrix format. Visits are scheduled taking account of the village sub-project implementation schedule and work plan. Visits serve to review progress in implementing the village sub-project and any environmental and social mitigation measures, and to make recommendations/suggest potential solutions to problems faced. The DRD township M&E officer will incorporate key findings from the supervision visits into the quarterly township progress report. The township engineer will undertake additional visits to advise the VPSCs on technical issues, as requested.

112. Union level: The DRD union office staff and relevant union TA consultants will continue to undertake regular supervision and monitoring visits to townships, village tracts and village sub-project sites. Visits will serve to assess project implementation progress across the village tracts in a township. The DRD union office will ensure that experiences from other townships are shared in order to enhance implementation quality. DRD union office staff and union TA consultants will continue to provide technical support to the DRD township office staff and VTPSCs, as needed. The DRD union M&E officer will incorporate the findings from the supervision visits into the quarterly project progress report.

113. Villagers will be invited to attend social audits at the end of each annual cycle to review the expenditures made and progress achieved, discuss the findings of any financial and technical audit findings, and suggest local adaptations to the project cycle or community implementation structure. As long as the project is active in a township, villagers will have the opportunity to provide feedback or express complaints through a grievance handling mechanism. The summary of the social audit conducted at the end of the Cycle 1 is provided in Section F of this ESMF.

## **J. Grievance Handling Mechanisms (GHM)**

114. Complaints and grievances are dealt with using the NCDDP grievance handling mechanism (GHM) to ensure that the project is implemented transparently and accountably, that voices of poor and marginalized groups are heard, and that issues and grievances raised are resolved effectively and expeditiously. Details of the grievance handling mechanism are described in the project Operations Manual, and are made publicly available at the village level, including through posters and visual materials.

115. Any stakeholders including villagers, contractors, project staff, authorities, and other involved parties may file a grievance if they consider that their right to information is interfered; that inappropriate

intervention by an outside party is found; that fraud and corruption have taken place; that the rights and entitlements granted in this ESMF are violated; or that any of the project's principles and procedures have been violated.

116. Grievance focal points are selected by villagers themselves at the village level who serve as the first tier of the conflict/ grievance mediation mechanism. They may request the Village Project Support Committee (VPSC) to meet and discuss matters raised by aggrieved persons, or mediate between parties to the conflict for mutually agreeable resolutions. They may also provide assistance to aggrieved persons to formally file grievances to the GHM. They receive training in the provisions of this ESMF, and keep records of grievances they received by them.

117. Grievances will be disclosed publicly, but anonymously unless the aggrieved person self-identifies him/herself. There is no charge for filing a grievance. If the person filing the grievance is known, the grievance focal point will communicate the timeframe and the course of action to her/ him within 2 weeks of receipt of the grievance. All grievances, including anonymous cases, shall be responded to within four weeks and resolved within three months from the time the grievance was originally received.

118. The grievance handling system is divided into five steps 1) intake, 2) sorting, 3) verification, 4) action, and 5) follow-up.

119. At the community level, the grievance focal points are usually the primary contact point for anyone wishing to file a grievance. If an individual prefers, grievances can be addressed to others involved in project implementation such as a village volunteer, facilitator, VPSC member, or VTPSC member or township engineer. Aggrieved persons can also file grievances using the following channels: 1) verbal communication to the Village Tract administrator/ Facilitator/ Township Grievance Handling Officer; 2) feedback boxes placed in each village (a box to be opened at least every two weeks by the village grievance focal point); 3) a letter to DRD union office, DRD township office, Union level NGO/firm, township level NGO/firm; 4) e-mails to dedicated e-mail addresses of the DRD union office and union level NGO/firm; 5) the dedicated phone line for the DRD union office and union TA; or 6) DRD project website or DRD social media site. If aggrieved persons so decide, grievances can be addressed during community meetings.

120. The grievances received through various channels will be sent to the relevant DRD township office for review, verification and decision on how to address the grievance if the grievance is related to a village or village tract issue. If the issue is related to the township or union level, it will be forwarded to the DRD union level (specifically, the grievance handling officer of the union TA team) for review, verification and decision on how to address the grievance.

121. Township or union DRD staff, as appropriate, together with relevant TA members, will verify if grievances submitted are valid, and identify solutions if grievances are found to be valid. Verification normally includes site visits, a review of documents, a meeting with the complainant (if known and willing to engage), and a meeting with those who could resolve the issue (including formal and informal village leaders).

122. The village project support committee (VPSC) will communicate the decision made and the actions to be taken to address the grievance at the next village meeting. If the aggrieved person is known, the grievance focal point (or person with whom the grievance was filed) will communicate the action to her/him. The grievance focal point will seek feedback from the aggrieved person as to whether or not they deem the action proposed as satisfactory. If the action proposed is considered unsatisfactory, the aggrieved person may file a new grievance, which will be handled at the next higher level. In principle, a final decision will be made by the Union Feedback Committee which includes DRD senior officials, the union TA team leader and the union TA grievance officer. All grievances received through the grievance handling mechanism will be recorded in the project management information system (MIS).

123. The GHM is supported by an information campaign and training programs. Community members in all project villages will be informed of the grievance handling mechanism and contact details will be shared at public meetings on multiple occasions. Brochures/ pamphlets and posters that describe the project and the grievance procedures have been developed and are made available to local communities and are posted on village notice boards and disseminated through local radio/TV. Local languages will be used to the extent possible to ensure that all stakeholders including ethnic language speakers have access to the grievance handling mechanism. Grievance focal points are elected or appointed in each village and at the village tract level, and DRD staff responsible for handling grievances are appointed at the township and union levels. Township and community level parties involved in the implementation will receive training on how to receive and handle grievances with confidentiality.

124. At the end of the project cycle, the VTPSC will report on all the grievances received and resolved during the annual social audit meeting at community level. During the social audit meetings, villagers will discuss the effectiveness of the grievance handling system and gather suggestions on how to improve it. Aggrieved persons who are not satisfied with the resolutions made will also be encouraged to air their grievances at the meeting. In its regular supervision visits, the DRD union office and union level TA assess the functioning of the grievance handling system and undertake spot checks.

125. The DRD union office uses the MIS to provide a monthly snapshot of the GHM (the number and category of grievances received and grievances resolved), including any suggestions received and acted on. A summary of grievances will also be reported on in the quarterly implementation progress reports and annual reports prepared by union DRD. Reports include information on grievance resolution and trends (the number of grievances received, cause of grievance, number of grievances resolved, average time taken to resolve a grievance, percentage of individuals having filed a grievance who are satisfied with the action taken, the number of grievances resolved at the lowest applicable level, etc.).

126. An independent audit of the grievance handling system will also be undertaken during the life of the project to assess the efficacy of the mechanism and introduce improvements.

## **K. Consultations and Disclosure**

127. The ESMF contains specific guidance and requirements for consultations with potentially affected people, consistent with the bottom-up approach and planning cycle of the project. The sub-projects are identified and proposed by the villagers and reviewed and approved by the VTPSC. The project design has specific requirements, including for representation of women and inclusion of ethnic and religious minorities, as applicable, and other vulnerable groups in the project cycle. Furthermore, as part of the technical design and safeguards planning, VTPSC and village implementation committees consult with the households potentially affected by a sub-project before the VTPSC approves it. These consultations are done in a culturally appropriate manner, documented and included in the sub-project documentation, and disclosed locally. Training to ensure these measures are properly understood and effectively implemented is provided to all relevant members of the VTPSC, village implementation committees and monitoring sub-committees, and DRD township staff.

128. The original ESSAF was disclosed as a stand-alone document by DRD in Myanmar language and at the World Bank's Infoshop in English. Furthermore, sub-project documentation relating to the design and implementation of the safeguards instruments is disclosed in the local language(s) in the affected communities.

129. This ESMF will be the subject of consultations at safeguard consultation meetings, including with civil society and other project stakeholders. Once finalized, it will be disclosed accordance with the World Bank's Access to Information Policy, and translated into local languages and disseminated in project communities.

**130. Budget for Implementing the ESMF**

131. The costs associated with implementing the ESMF processes and safeguards instruments are included in component 2 (Facilitation and Capacity Development) and 4 (Implementation Support), and the costs of implementing the measures in the ECoPs and the benefits in any abbreviated or full RAP are included in the cost of each sub-project under component 1 (Community Block Grants).

## **LIST OF ANNEXES**

- Annex 1: Subproject safeguards screening form
- Annex 2: Voluntary donation form
- Annex 3: Environmental management plan
- Annex 4: Final Subproject inspection form
- Annex 5: List of subprojects reviewed by technical consultant

## Annex 1: FORM PC 13: SAFEGUARDS SCREENING FORM

The completed form (one is required for each subproject) is to be attached to the sub-project proposal.

Region / State :	
Township:	
Village Tract:	
Village:	
Sub-project:	
Sub-project ID:	

### Sub-project description

Type (see eligible category)

Category (check one):  Rehab       Extension       New work       other

Scope:

Building     road/bridge/jetty     water supply     rural electrification     irrigation  
 Sanitation

Cost estimate

Location (with GPS longitudes and latitudes, if available)

Beneficiaries

Number of villages served

Linked to sector plan? (Check one)       Yes     No

Any other similar sub-project/assistance in the same village?    (Check one)     Yes     No

### Environmental screening

Apply ECoP to all village sub-projects (VSP)

#### *E1. Natural environment*

(a) Briefly describe the vegetation/trees in/adjacent to the sub-project area

(b) Estimate and indicate where vegetation/trees might need to be cleared

(c) Are there any environmentally sensitive areas or threatened species (specify below) that could be adversely affected by the sub-project?

-- Natural forests: Yes\_\_ No\_\_

-- National parks: Yes\_\_ No\_\_

-- Rivers: Yes\_\_ No\_\_

-- Lakes: Yes\_\_ No\_\_

-- Wetlands (swamps, polder areas, seasonally inundated areas): Yes\_\_ No\_\_

-- Habitats of endangered species for which protection is required under Myanmar laws and/or international agreements: Yes\_\_ No\_\_

-- Others (describe): Yes\_\_ No\_\_

If answer to any of above questions is 'yes', mark VSP as having an impact on the natural environment:

- has an impact                       No impact

*E2. River ecology*

Is there a possibility that, due to installation of structures, such as weirs and other irrigation structures, the river ecology will be adversely affected? Attention should be paid to water quality and quantity; the nature, productivity and use of aquatic habitats, and variations of these over time. Yes\_\_ No\_\_

If answer to any of above questions is 'yes', mark VSP as having an impact on river ecology:

- has an impact                       No impact

*E3. Protected areas*

Does the sub-project area (or components of the sub-project) occur within/adjacent to any protected areas designated by government (national park, national reserve, world heritage site, etc.) Yes\_\_ No\_\_

If the sub-project is outside of, but close to, any protected area, is it likely to adversely affect the ecology within the protected area areas (e.g., interference with the migration routes of mammals or birds) Yes\_\_ No\_\_

If answer to any of above questions is 'yes', mark VSP as having an impact on the protected areas:

- Has an impact                       No impact

*E4. Geology and soils*

Based upon visual inspection or available literature, are there areas of possible geologic or soil instability (erosion prone, landslide prone, subsidence-prone)? Yes\_\_ No\_\_

Based upon visual inspection or available literature, are there areas that have risks of large scale increase in soil leaching and/or erosion? Yes\_\_ No\_\_

If answer to any of above questions is 'yes', mark VSP as having an impact on geology and soils:

- Has an impact                       No impact

*E5. Pollution*

Will the sub-project lead to ground, water or air pollution? Yes\_\_ No\_\_

Will lead batteries be used? Yes\_ No\_

If answer to any of above questions is 'yes', mark VSP as having an impact on air pollution:

- Has an impact                       No impact

*E6. Invasive plant species along feeder road routes*

Is the sub-project likely to result in the spread of invasive plant species (along feeder road routes)? Yes\_\_ No\_\_

*E7. Endangered species along feeder road routes*

Is the sub-project likely to result in an increased threat to endangered animal species (along feeder road routes)? Yes\_\_\_ No\_\_\_

If answer to any of above questions is 'yes', mark VSP as having an impact on invasive plant species

Has an impact                       No impact

*E8. Historical, archaeological or cultural heritage site*

Based on available sources, consultation with local authorities, local knowledge and/or observations, could the sub-project alter any historical, archaeological or cultural heritage site (pagodas, memorials and graves) or require excavation near same? Yes\_\_\_ No\_\_\_

If answer to any of above questions is 'yes', mark VSP as having an impact on historical, archaeological or cultural heritage site:

Has an impact                       No impact

*E9. Loss of crops, fruit trees and household infrastructure*

Will the sub-project result in the permanent or temporary loss of crops, fruit trees and household infrastructure (such as granaries, outside toilets and kitchens, etc)? Yes\_\_\_ No\_\_\_

If answer to any of above questions is 'yes', mark VSP as having an impact on crops, fruit trees and household infrastructure:

Has an impact                       No impact

*E10. Adverse impacts on natural habitats*

Will the sub-project have adverse impacts on Natural Habitats that will not have acceptable mitigation measures according to OP 4.04 Natural Habitats? Yes\_\_\_ No\_\_\_

If answer to any of above questions is 'yes', mark VSP as having an impact on natural habitats:

Has an impact                       No impact

*E11. Solid or liquid waste*

Will the sub-project generate solid or liquid wastes? Yes\_\_\_ No\_\_\_

If "Yes", does the sub-project include a plan for their adequate collection and disposal? Yes\_\_\_ No\_\_\_

If answer to any of above questions is 'yes', mark VSP as generating solid or liquid waste:

Has an impact                       No impact

➤ ***If the answer to any of the above questions is 'yes', prepare an Environmental Management Plan that contains suitable mitigation measures***

**Social screening**

*S1. Resettlement and/or land acquisition*



Will land that is privately used for farming, residence, grazing or other purposes be permanently acquired or temporarily occupied by sub-project implementation? Yes\_\_ No\_\_

- If the answer is 'yes', proceed to the guidance on land acquisition (voluntary donation or resettlement action plan, as appropriate)

*S2. Accessing sub-project benefits*

Will the following groups in the village have access to and benefit from the sub-project?

- Women: Yes\_\_ No\_\_
- Youth groups: Yes\_\_ No\_\_
- Ethnic minorities: Yes\_\_ No\_\_
- Religious minorities: Yes\_\_ No\_\_
- Other groups (e.g. the poor, the elderly) Yes\_\_ No\_\_

- For each group: if the answer is 'yes', specify how it will benefit, and if it is 'no', explain why they will not benefit.

Will villagers be employed for the implementation of works? Yes\_\_ No\_\_

- If the answer is 'yes', → Part I, Block Grants to determine the daily wage

Name:	_____	Position:	Head, Village Project Support Committee
Signature:	_____	Date:	_____

**Annex 2: FORM PC 14: VOLUNTARY DONATION FORM**

Region / State :	
Township:	
Village tract:	
Village:	
Sub-project ID:	
Technical Facilitator:	

Name of land owner:	NRC Number:	Beneficiary of the sub-project: Y/N		
Sex:	Age:	Occupation:		
Address:				
Description of land that will be taken by the sub-project:	Area affected:	Total landholding area:	Ratio of land affected to total land held:	Map code, if available:
Description of annual crops growing on the land now and project impact:				
	Details	Number		
– Trees that will be destroyed				
– Fruit trees				
– Trees used for other economic or household purposes				
– Mature forest trees				
– ...				
Describe any other assets that will be lost or must be moved to implement the project:				
Value of donated assets:				
Will affected people need to be physically relocated?				

By signing or providing thumb-print on this form, the land user or owner agrees to contribute assets to the project. The contribution is voluntary. If the land user or owner does not want to contribute his/ her assets to the project, he or she should refuse to sign or provide thumb print, and ask for compensation instead.

Date:.....

Date:.....

Village Project Support Committee  
representative's signature

Affected persons signature  
(both husband and wife)

**Annex 3: FORM PC 15: ENVIRONMENTAL MANAGEMENT PLAN**

The completed form will be attached to the sub-project proposal. The EMP will be approved by the DRD township engineer.

Region / State :	
Township:	
Village tract:	
Village:	
Sub-project ID:	
Technical Facilitator:	

Potential adverse impact(s)	Mitigation measure(s)	Monitoring indicators	Responsibilities	Implementation schedule	Cost estimates

Name: \_\_\_\_\_ Position: Head, Village Project Support Committee

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Annex 4: FORM PC 10: FINAL INSPECTION OF SUBPROJECT FORM**

<i>Instructions:</i>			
Name of Facilitator/Staff:			
Date:	Cycle (v): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract:	Village:

**Subproject Description**

	Subproject Activity	Size/Scope		Direct Beneficiaries	
		Planned	Final Actual	# Planned	# Actual

**Subproject Financial information**

CDD Project Contribution		Community Contribution		Other Govt Contribution		Other	
Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual

**Status of Subproject Construction:**

Is the subproject fully completed?  No  Yes, describe below

**Procurement:**

Are there any remaining problems related to procurement of goods, supplies, or contractors?  No  Yes, describe below

**Safeguards/ ECOPs:**

- (a) Are there any problems related to land acquisition or resettlement?  No  Yes, describe below
- (b) Are there any problems related to environmental impact from subproject?  No  Yes, describe below

**Village Operations and Maintenance Committees formed:**

Are Village O&M Committees formed and functioning?  No, describe issues below  Yes

**Overall Technical Quality of Subproject**

In general, the overall subproject is functional and technical quality is:

- Poor                       Average                       Good                       Very Good

**Community Satisfaction with Subproject:**

How do villagers feel about the completed subproject?

- Very Dissatisfied (explain below)       Dissatisfied                       Satisfied                       Very Satisfied

Other Comments for attention:

We certify that subproject described above is completed and functional and the above information is correct.

Date: \_\_\_\_\_

Head of the VPSC: \_\_\_\_\_

Signature:

Head Procurement Sub-committee: \_\_\_\_\_

Signature:

Finance Clerk \_\_\_\_\_ Signature:

Acknowledged by

Technical Specialist: \_\_\_\_\_ Signature \_\_\_\_\_ Date:

**Annex 5: List of subprojects reviewed by technical consultant**

<b>No.</b>	<b>Township</b>	<b>Village Tract</b>	<b>Village Name (English)</b>	<b>Sub-Project</b>	<b>Date of Inspection</b>	<b>H.H</b>	<b>Female</b>	<b>Total Population</b>	<b>Approx Distance from Townshp (KM) or (Hours: Min) for Kyun</b>
1	Kanpetlet	Kyet Chan	Ma Kyauk Ahr	Footpath	Aug 7, 2014	40	112	231	6
2	Kanpetlet	Kant Thar Yon	Saw Laung	Water Supply	Aug 7, 2014	29	83	147	1
3	Kanpetlet	Kant Thar Yon	Par Kun	School Rehabilitation	Aug 7, 2014	46	136	266	0
4	Kanpetlet	Kant Thar Yon	Saw Chaung	Water Supply	Aug 7, 2014	19	40	69	3
5	Kanpetlet	Kant Thar Yon	Kant Thar Yon	Linking Road	Aug 7, 2014	40	95	195	1
6	Kanpetlet	Hman Taung	Maw Chaung	Water Supply	Aug 8, 2014	38	111	225	
7	Kanpetlet	Kyin Dway	Hpone Twi Khi	Irrigation	Aug 8, 2014	22	70	138	85
8	Kanpetlet	Lon Ein Nu	Tin Pon Kyinn	School Extension	Aug 9, 2014	26	62	114	
9	Kanpetlet	Kyin Dway	Auk Hle	School Extension	Aug 9, 2014	31	120	208	100
10	Kanpetlet	Kyin Dway	Hoke Pon Kyin	School Extension	Aug 9, 2014	19	46	91	85
11	Kanpetlet	Pu Saw	Pan Taung	Water Supply	Aug 9, 2014	24	78	142	92
12	Namhsan	Kyauk Hpyu	Kyauk Hpyu Ywar Ma	School Fence	Aug 12, 2014	134	378	741	
13	Namhsan	Nam Len	Nam Len	Community Hall	Aug 13, 2014	244	971	1795	
14	Namhsan	Ahr Ram	Ahr Ram (Pa Laung)	Public latrine	Aug 13, 2014	242	773	1751	
15	Namhsan	Ahr Ram	Ho Nam	Hydro	Aug 14, 2014	26	112	208	
16	Namhsan	Za Yang	Za Yang (North)	School Fence	Aug 14, 2014	321	909	1744	
17	Namhsan	Za Yang	Za Yang Ywar Ma	Road	Aug 14, 2014	386	1019	1923	
18	Namhsan	Ngun Hseng	Ngun Hseng	Water Tank	Aug 14, 2014	221	545	1057	
19	Namhsan	Hpa Yar Gyi	Man Pang	Side Drain	Aug 15, 2014	172	187	379	
20	Namhsan	Man Kan	Ho Chit @ Sa Khan Thar	Concrete Road	Aug 15, 2014	64	248	468	
21	Namhsan	Li Lu	Li Lu	Bridge	Aug 15, 2014	60	151	283	

22	Kyunsu	Zay Ka Mi	Zay Ka Mi	School Renovation	Oct 25, 2014	139	398	805	1:
23	Kyunsu	Zay Ka Mi	Pan Taung	Water Supply	Oct 25, 2014	78	200	406	1:
24	Kyunsu	Zay Ka Mi	Shwedu/Taungpuu	School	Oct 25, 2014	102	180	392	1:
25	Kyunsu	Mawng Hiaw	Mawng Hlaw Auk	Bridge	Oct 26, 2014	165	530	1026	2:
26	Kyunsu	Mawng Hiaw	Yataung Adwin	School	Oct 26, 2014	162	525	1023	2:
27	Kyunsu	Min Goke	Min Goke	Water Tank	Oct 26, 2014	250	750	1511	3:
28	Kyunsu	Kat Ta Lu	Leik Kvei	Hydro Power	Oct 27, 2014	28	66	128	2:
29	Kyunsu	Kat Ta Lu	Htein Chaung	Concrete Road	Oct 27, 2014	146	391	758	2:
30	Kyunsu	Ka Pa	Ma Yan Chaung	School	Oct 27, 2014	248	576	1059	1:
31	Kyunsu	Ma Ai	Lin Ma Lo	Jetty	Oct 28, 2014	90	291	590	3:
32	Kyunsu	Ma Ai	Ma San Pa	Concrete Footpath	Oct 28, 2014	159	437	934	2:

Sources:

- (1) Population data of Kanpetlet, based on CFs' data, updated on April-14, 2014
- (2) National Community-Driven Development (NCDD) Project, Table 1. Summary Profile of First Cycle Townships, Distance from KPL, data based on CFs/TFs
- (3) Namhsan Township, Shan (North), Demographic Data.
- (4) Tanintharyi Region, Myeik District, Kyunsu Township (Mode of Travel)