
Annex 24 – Indigenous Peoples Planning Framework

Indigenous Peoples Planning Framework

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MON 49430: Aimag and Soum Green and Resilient Regional Development Investment Program (ASDIP)

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ABBREVIATIONS

ADB	-	Asian Development Bank
AP	-	Affected People
APO	-	Aimag Program Office
BCS	-	Broad Community Support
CAHW	-	Community Based Animal Health Worker
EA	-	Executing Agency
EM	-	Ethnic Minority
IA	-	Implementing Agency
IP	-	Indigenous Peoples (as defined in ADB's SPS)
IPPF	-	Indigenous Peoples Planning Framework
IPP	-	Indigenous Peoples Plan
GAF	-	Grievance Action Form
GAP	-	Gender Action Plan
GOM	-	Government of Mongolia
GRM	-	Grievance Redress Mechanism
LAR	-	Land Acquisition and Resettlement
LARC	-	Land Acquisition and Resettlement Committee
LAR WG	-	LAR Working Group
MFF	-	Multi-tranche Financing Facility
MOF	-	Ministry of Finance
NGO	-	Non-Government Organization
PIHMP	-	Participatory and Inclusive Herd Management Plan
PIP	-	Project Information Pamphlet
PFR	-	Project Financing Request
PMO	-	Project Management Office
PUG	-	Pasture User Group
RRP	-	Report and Recommendation to the President
RUA	-	Rangeland Use Agreement
SIA	-	Social Impact Assessment
SPS	-	Safeguard Policy Statement (ADB, 2009)
SR-3	-	Safeguard Requirement 3

INDIGENOUS PEOPLES PLANNING FRAMEWORK

A. Background and Context

1. The Aimag and Soum Green and Resilient Regional Development Investment Program (ASDIP).

1. The development and review of the Indigenous Peoples Planning Framework (IPPF) has been carried out during the Transaction Technical Assistance (TRTA-MON-49430) for the preparation of the Aimag and Soum Green and Resilient Regional Development Investment Program (ASDIP).

2. ASDIP is based on a close link between ecologic, social, geographic and economic approaches and between rangeland, agri-business and urban areas. It is a 10 years investment program, delivered in 3 Tranches, linking green urban development, resilient and low-carbon rangeland management, and sustainable green agrobusiness value chain into an overall green and resilient agro-territorial development framework. The program has four outputs:

- (i) **Climate-resilient, low carbon, and attractive Aimag and Soum Centers developed:** Targeted Aimag and Soum centers become more resilient, offer better living condition, and support the development of green and inclusive agri-business value chain;
- (ii) **Rangelands managed for climate resilience, high carbon sequestration, and sustainable herding:** Rangeland health and resilience is improved, benefits from better management of water resources, and supports herders to produce healthier livestock and quality animal-based raw material, and have higher income;
- (iii) **Low carbon, climate resilient and inclusive value chains created and strengthened through accessible finance:** Agribusiness value chain is inclusive, performant, supports sustainable rangeland management, and access to financing and credit risk guarantee for agri-business companies and agri-cooperative is extended (financial intermediation loan [FIL] component); and
- (iv) **Capacity building and policy development for green territorial development improved:** Institutions, policies and capacity for program implementation, rangeland management, water resources management, veterinary services, herders' livelihood, urban services and development, green agribusiness, climate change adaption and mitigation, and green territorial development are strengthened

2. Project beneficiaries and ethnic minorities present in the Project Area

3. There are 24 ethnic groups mentioned in the 2015 National Census. The Khalkh make up the majority and comprise over 84.5% of the population (Census, 2015).

4. Ethnicity is defined by common origins (ethnic groups are descendants of tribes or clans), a dialect, and cultural differences. However, except for the Kazakh and Tuva minority group residing in Western Mongolia, all ethnic groups speak Mongolian dialects which are comprehensible to speakers of Khalkh and to each other. Khalkh Mongolian is the official national language – the language of all levels of administration, the language of instruction in most schools and of all national exams.

5. Besides the Tsaatan, the Kazakh, the Tuva, and to some extent the Khoton, cultural differences among ethnic groups are minor. Mobile pastoralism has traditionally been practiced within Mongolia, and this common nomadic way of life has fostered a relatively uniform Mongol culture, with people sharing similar livelihoods, having frequent contacts with speakers of other dialects, and developing close social and cultural practices. The majority of Mongolia's ethnic groups share similar customs, traditions and systems of production as the Khalkh. Ethnicity is mainly revealed in distinct clothing styles and ways of preparing food, and in musical and oral traditions. Ethnic distinctions can thus be qualified of relatively minor, although some groups may have a stronger sense of their own identity than others. This is the case for the traditionally nomadic reindeer-herding Tsaatan people in Khuvsgul aimag; the Kazakh, who have stronger cultural differences added to language and religious

distinctions (Kazakh language and Islam); the Tuva (Tuva language) and the Khoton (different religion – Islam). However, Kazakh, Tuva and Khoton livelihoods are not significantly different from those of the Mongol subgroups; only the Tsaatan are characterized by a specific system of production¹.

6. There is no “collective attachment to geographically distinct habitats or ancestral territories (...) and to the natural resources in these habitats and territories” which is specific to their ethnic background, with the exception of Tsaatan people living in the taiga forest of Tsagaannuur soum of Khuvsgul aimag, and Tuva people living near the holy mountain of Tsengel hairhan in Tsengel soum of Bayan Ulgii aimag.

There is no apparent “customary cultural, economic, social or political institutions” specific to the ethnic groups, with the exception of Tsaatan people following traditional tribal decision-making processes².

7. A large number of ethnic minorities reside in the three targeted aimags of Tranche 1, as shown in Annex 4. Some ethnic minority groups reside primarily in the targeted aimags of Tranche 1. The Kazakh reside primarily in Bayan Ulgii (75.5%) and to a lesser extent in Khovd (8.8%). Uvs hosts large part of the Durvud, Buriad and Bayad and Khoton minority groups (respectively 48.6%, 54.3% and 49.9%). Khovd hosts large part of the Uriankhai, Zakhchin, Torguud, Myangad and Uzbek minority groups (respectively 26.1%, 68.0%, 42.1% and 66.0%). Some ethnic groups who are minority ethnic groups at the national level form the majority of the population in the project areas. While the Kazakh constitute a minority ethnic group at the national level (they represent 3.9% of the national population), they are the majority ethnic group in Bayan Ulgii, representing 86.3% of the population of this aimag. In Uvs, the population is mainly constituted by two ethnic groups, the Durvud and the Bayad, who are also minority ethnic groups at the national level (representing 2.4% and 1.7% of the Mongolian population), but who make up respectively 42.7% and 34.1% of Uvs’ population. Thus, in Uvs aimag too, the Khalkh ethnic group is a minority group, representing 12.4% of the aimag population. In Khovd, the population is made of a large number of ethnic groups: Khalk (27.1%), Zakhchin (24.5%), Kazakh (12.1%), Uriankhai (7.8%), Torguud (7.2%), Uuld and Durvuud (both 6.3%). Thus, while the Khalkh is the most represented ethnic group in Khovd, it does not form a majority either.

8. The TRTA conducted an analysis of ethnic minority issues, focusing in particular on the case of the Kazakh, the Tuva and the Khoton. The study was conducted in two stages. The first stage, done during project identification, enabled to identify ethnic minorities present in specific project areas and do a preliminary screening of possible issues, in order to build adapted tools (FGD grids) in a second stage. The study included consultations with ger area residents, PUGs, cooperatives and the private sector, and all results were summarized in an Analysis of Ethnic Minority Issues report. The analysis found that the ethnic groups will not be negatively affected by the project. They will all equally benefit from the project provided sufficient communication and community engagement activities are put in place, as detailed in the Social Action Plan, Project Consultation and Participation Plan and Stakeholder Communications Strategy. The Tranche 1 of the MFF is classified as category “C” for Indigenous Peoples because the social assessment does not establish the present ethnic minorities as Indigenous Peoples as per ADB’s SPS (2009)/SR-3, and Tranche 1 will not directly or indirectly affect the dignity, human rights, livelihood systems, or culture of minority ethnic groups.

9. The Indigenous Peoples Planning Framework (IPPF) was prepared for the facility framework in accordance with ADB’s Safeguard Policy Statement (SPS, 2009) and safeguard Requirements 3: Indigenous Peoples (SPS Appendix 3). The IPPF is aimed to guide the preparation of future subprojects which may affect any Indigenous Peoples. If the projects financed under those tranches are categorized either ‘A’ or ‘B’ for Indigenous Peoples, Indigenous Peoples Plan(s) (IPP) will need

¹ The Tsaatan travel by reindeer, consume their milk, use the hides for clothing and shelter, and consume the meat of the older animals that are no longer suitable for transport of milk production.

² In particular, ethno-specific institutions have not been identified by the TRTA throughout conducted consultations in the three Western aimags; that is why, it is deemed that if such institutions exist, they do not seem to play a significant role/do not seem to be active.

to be prepared based on this IIPF and submitted to ADB for concurrence before approving financing under subsequent tranches.

B. Minorities-related Legislation

The rights of ethnic minorities are guaranteed by the Constitution of Mongolia (1992) which states: “no person may be discriminated on the basis of ethnic origin, language, race, age, sex, social origin or status, poverty, occupation or post, religion, opinion or education” (Article 14.2). The constitution also protects ethnic minorities’ right to practice their own culture and use their own language: “the right of national minorities of other tongues to use their native languages in education and communication and in the pursuit of cultural, artistic and scientific activities” (Article 8, sub-article 2).

10. The Government of Mongolia has no specific law or regulation related to Indigenous Peoples or ethnic minority concerns and issues. A few laws of Mongolia such as Labor Law (Article 7.1), Criminal Code (Article 5.1), for example, guarantee equality among ethnic groups.

11. As such there is no specific branch of government designated to be responsible for addressing ethnic and indigenous peoples concerns. However, in Article 20.3 of 2006 Parliament Law, a standing committee has been designated to formulate state policies on ethnic minorities’ language, culture and tradition.

12. There exists a strong notion that Mongolia is socially and culturally homogenous and Indigenous Peoples and ethnic minorities largely remain unrecognized in terms of actual government supported policies, which are broadly focused on Mongolian citizens. For example, the Sustainable Development Vision 2030 does not mention indigenous/ethnic differences and is directed to all the Mongolian citizens with no mention of ethnic diversity. The National Security Council of Mongolia³ identifies discrimination on the basis of ethnicity as one of the factors that may adversely affect the citizens’ rights and freedoms and could result in the breach of unity among the population. However, there are a few precedents in recent policy pronouncements recognizing the need to address specific issues related to ethnicity such as the “State Policy on Education”, where policy documents point out the necessity to develop and implement curriculum program for the children of the ethnic minority. On this basis, the Ministry of Education, Culture and Science approved Memorandum # 42 of 2007, which sought to enhance and protect the right to education of ethnic minorities, particularly the Kazakh children, and minimize and eliminate the constraints resulting from language and cultural differences and provide them quality education through culturally appropriate and linguistically attuned curriculum. The Government has given special attention and support to the Tsaatan people to improve their livelihood in a manner that protects their distinctive culture and traditions.

C. ADB’s Safeguard Policy Statement and Indigenous People’s Principles

13. The Indigenous Peoples safeguards are triggered if a project directly or indirectly affect the IP’s dignity, human rights, livelihood systems, or cultural uniqueness as defined by the IP themselves, or affects the territories or natural or cultural resources that Indigenous Peoples own, use, occupy, or claim as an ancestral domain or asset. The objectives of ADB’s policy on Indigenous Peoples Safeguards are “to design and implement projects in a way that foster full respect for Indigenous Peoples’ identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the Indigenous Peoples themselves so that they (i) receive culturally appropriate social and economic benefits, (ii) do not suffer adverse impacts as a result of projects, and (iii) can participate actively in projects that affect them”. An Indigenous Peoples Plan (IPP) needs to be developed if the Indigenous Peoples safeguards are triggered. However, these triggers exist only if, based on anthropological justification, a group affected by the project can be classified as IP.

14. Indigenous Peoples in ADB’s SPS (2009)/SR-3⁴ is defined as groups with social or cultural identities distinct from that of the dominant or mainstream society. IP may include cultural minorities, ethnic minorities, indigenous cultural communities, tribal people, natives, and aboriginals. The term IP is used in a generic sense to refer to a distinct, vulnerable, social, and cultural group possessing

³ Ulaanbaatar 2007. The National Security Council of Mongolia - Collection of Legal Documents, Fifth Edition.

⁴ Indigenous People’s requirements are detailed in Safeguard Requirements (SR-3), which is Annex 3 of the SPS.

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

15. The ADB's SPS (2009) recognizes the potential vulnerability of Indigenous Peoples in development processes. The policy works to avoid adverse impacts as a result of the project, to ensure IP can participate actively in project interventions that affect them, and to ensure they have opportunities to benefit equally from development. Accordingly, project activities must ensure that development initiatives affecting Indigenous Peoples are effective, inclusive, sustainable and culturally appropriate. Initiatives should be compatible in substance and structure with the affected peoples' culture and social and economic institutions, and commensurate with the needs, aspirations, and demands of affected peoples. Initiatives should be conceived, planned, and implemented, to the maximum extent possible, in consultation with affected communities to ensure respect for Indigenous Peoples' dignity, human rights, and cultural uniqueness. Projects must avoid negatively affecting Indigenous Peoples. For any subproject with anticipated adverse impacts, the design should be reconsidered to avoid these impacts. For subprojects with limited impact, involving indigenous peoples/ethnic minorities in the development of appropriate mitigation measures will provide opportunities for positively engaging these groups so that these measures are compatible with project implementation, and benefits generated are accrued by them in a culturally appropriate way. Development processes must incorporate transparency and accountability and encourage the participation of IPs in project design and implementation.

D. Policy Framework

16. This IIPF is intended to guide the preparation of future investment tranches in the event of any positive and/or adverse impacts on Indigenous Peoples under the Investment Program. This IIPF is based on the overall national development strategies and ADB's policy requirements for Indigenous Peoples. The principal objectives are to design and implement projects in a way that fosters full respect for Indigenous Peoples' identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the Indigenous Peoples themselves. This is undertaken so that they (i) receive culturally appropriate social and economic benefits, (ii) do not suffer adverse impacts as a result of projects, and (iii) can participate actively in projects that affect them. The IIPF presents the policy and procedures for the preparation of Indigenous Peoples Plan (IPP) in accordance with the ADB's SPS SR-3 on Indigenous Peoples (June 2009).

17. The need for an IPP will depend on the nature and scale of the project impacts and sensitivity of Indigenous Peoples' issues. An initial poverty and social assessment will be prepared for every subproject, which also determines whether ADB's indigenous peoples policy requirement will be triggered. ADB's SPS states that "the Indigenous Peoples safeguards are triggered if a project directly or indirectly affects the dignity, human rights, livelihood systems, or culture of indigenous Peoples or affects the territories or natural or cultural resources that indigenous Peoples own, use occupy, or claim as their ancestral domain" (SPS, p.56). An indigenous peoples categorization checklist to be used in the screening exercise during the project preparation stage is provided (Annex 1). Initially, ethnic minorities, if any, will be identified following precedents set by other projects or other donors, and using the standards set forth in ADB's SPS SR3 and mentioned in Paragraph 17. The IPP is based on ADB's policy requirements as set out in the SPS SR3 and described in section C.

18. The IPP will set out measures whereby the borrower/client will ensure (i) that affected Indigenous Peoples receive culturally appropriate social and economic benefits; and (ii) that when potential adverse impacts on Indigenous Peoples are identified, these will be avoided to the

maximum extent possible. Where this avoidance is proven to be impossible, based on meaningful consultation with indigenous communities, the IPP will outline measures to minimize, mitigate, and compensate for the adverse impacts. The level of detail and comprehensiveness of IPPs will vary depending on the specific project and the nature of social impacts and risks to be addressed. The borrower/client will integrate the elements of the IPP into the project's design.

E. Procedures for Ethnic Minorities Plan Preparation

19. Annex 1 shows the initial screening/checklist for impact on Indigenous Peoples. This will be conducted as part of the project preparation for the subsequent tranches. The screening/checklist will be submitted to ADB for review and approval of categorization prior to each subsequent project approval. On the basis of this screening/checklist, each subsequent tranche will be categorized. If the project is categorized A or B, an IPP will need to be prepared. If the project is category C, a social development action plan will suffice, as was done for Tranche 1.

20. In the case of future tranches categorized as A or B, an IPP will be prepared as follows:

- (i) Screening potential impacts of project activities on indigenous groups or communities;
- (ii) Conduct a field-based social impact assessment (SIA) following guidelines for IPP outline (see Annex 2);
- (iii) Undertake meaningful consultation with the affected IP and provide the opportunity to the IP to participate in the selection of technically and economically feasible alternatives;
- (iv) Prepare beneficial, mitigation and capacity building measures based on the SIA results, particularly targeting vulnerable IP;
- (v) Establish grievance and redress mechanism for the IP;
- (vi) Prepare an appropriate budget and a mechanism for monitoring, reporting and evaluation of the IPP; and
- (vii) Prepare and disclose an IPP, including documentation of the consultation process in accordance to the IPPF and ADB's SPS, SR-3 (2009).

21. In the case of future tranches categorized as A or B, a satisfactory IPP will be prepared, disclosed to affected persons and posted on ADB website prior the appraisal of the respective project financing requests (PFRs). The IPP policy and measures must comply with ADB's SPS Safeguard Requirement 3 on Indigenous Peoples (2009) and approved IPPF.

F. Consultation and Disclosure

22. For the preparation of the IPP, MCUD as Executing Agency will have overall coordination, planning, implementation and financing responsibilities. The social development team in the project management office (PMO) and in the Aimag Project Offices will work with local community organizations, or local nongovernment organizations (NGOs) for planning and implementation of the IPP.

23. The IPP will be prepared with meaningful consultation with the affected Indigenous Peoples. The consultations will be clearly and thoroughly documented. The mitigation measures and strategies will be presented in community level workshops for inputs before being finalized. The IPP and project information pamphlet (PIP) will be translated into the local/IP language(s) and will be disclosed to all IP prior to implementation. IPP will be posted on ADB's website in both the Mongolian and the English language.

G. Broad Community Support

24. The SPS SR-3 indicates that Indigenous Peoples may be particularly vulnerable when project activities include (i) commercial development of the cultural resources and knowledge of Indigenous Peoples; (ii) physical displacement from traditional or customary lands; and (iii) commercial development of natural resources within customary lands under use that would impact the livelihoods or the cultural, ceremonial, or spiritual uses that define the identity and community of Indigenous Peoples". In deciding to proceed with a project involving such activities, ADB requires that the borrower/client will ascertain the consent of affected Indigenous Peoples communities. If the

project activities do include any of these three cases, the EA will be required to ascertain broad community support (BCS) from the affected communities. The ADB requirements for BCS are set out in SPS, SR-3.

H. Grievance Redress Mechanism

25. The target aimags' Governor's Office will establish a Grievance Redress Mechanism (GRM) for ASDIP to support the APs on problems arising from land acquisition and resettlement, and associated impacts, and provide means by which the various conflicting stakeholders may be consulted and negotiated agreement reached, paying particular attention to the impacts on vulnerable groups. APs will be informed and consulted about the detailed process of the GRM during the public and individual consultations, interviews and the procedure of grievance redress will be incorporated in the PIP to be distributed prior to implementation. The PMO will make sure Indigenous Peoples are provided with information about the GRM system and how to use it. Importantly, APs will enjoy the right to access the judicial system at any time, if they feel their grievance or concern is not being adequately addressed through the GRM. In order to prevent grievances, participatory consultation with affected households will be undertaken during project planning and implementation stages.

26. The GRM for ASDIP will be harmonized with the existing grievance redress mechanism at the aimags. All the government organizations follow the procedures set in the "Law on Settlement of Requests and Complaints from Citizens to Government Organizations and Officials" for handling the grievances from the citizens. The law provides detailed procedures on how to lodge grievance (in writing, verbally, by telephone or using means such as emails etc.), where and whom to submit, once received how to register, convey to the relevant officials and timing to respond and settle the issues, and approach higher officials or authorities, in case not satisfied with the grievance redress. The Aimag Governor Office and all the local government organizations have GRM, following this law. The Aimag Program Office (APO) shall establish GRM in compliance with the local government organizations GRM and considering the specifics of LAR activities and ASDIP institutional arrangements and implementation. The APO GRM will be integral part of the GRM at the Aimag Governor Office. The APs can lodge their grievance using both the APO or the GRM receiving point at the Governor Office. APO will follow the GRM procedures for reporting and supervision by the Aimag Governor Office and will be providing the GRM statistics and reports to and supervised by this office.

27. For ASDIP GRM, the APO should be following the steps presented below, where the APs will be actively involved in all stages of the grievance redress procedures.

- Step 1: An aggrieved AP shall submit grievances to the Resettlement specialist of the APO, who will log a complaint in the Grievance Action Form (GAF). Then he/she will contact relevant member of the LARC and/or LAR WG. The grievance will be presented, addressed and resolved within 1 week within the APO and LAR WG level. The PMO Resettlement Specialist will record its deliberations and inform the concerned parties within the same week of its findings and recommendations and present these to the APO and LAR WG for action.
- Step 2: If the grievance is not resolved within 1 week from its lodging, the grievance will be submitted to the related divisions/offices of the Aimag Government and its resolution is recommended to the head of respective division/office for approval and action within 1 more week.
- Step 3: If still unresolved within another week, the APO will seek to resolve the issue within the LARC and make recommendations to the chairman of LARC, who is head of the Aimag Governor Office. The head of the Aimag Governor Office shall initiate action within another week.
- Step 4: If the preceding stakeholders cannot resolve the grievance, it is referred to the courts. Mongolian legislation and the ADB SPS will guide all decisions.

28. A Grievance Action Form (GAF) will be designed during the detailed design stage to cover the various aspects of land acquisition and resettlement addressed by the RPs and used in the

grievance redress process to log and follow up any grievance. Annex 3 presents a Sample GAF. The GAF, a copy of which will be provided to AP, will at minimum contain the following:

- Basic information about APs (name, address, contact number)
- Date of last disclosure meeting
- Category of grievance filed (legal, technical/engineering, social, financial)
- Detailed description of grievance
- Type of action taken (resolved at the LARC level or referred to higher authorities)

29. As a grievance is addressed, the type of action taken will also be recorded on the GAF, in order to document how the grievance was resolved.

30. With specific regard to land disputes, in accordance with the Land Law (Article 60, “Settlement of Land Related Disputes”), these will be settled by the respective soum Governor. Where this is unsuccessful, the dispute shall be settled by a higher-level authority, or in court. Alternatively, APs may also go directly to the ALACUDA.

31. If an AP is still not satisfied and believes they have been harmed due to noncompliance with ADB policy and they have made good faith efforts to solve their problems by working with the APO, PMO and LARC, and as well as ADB Project Team, they may submit a complaint to ADB’s Office of Special Project Facility or Office of Compliance Review in accordance with ADB’s Accountability Mechanism (<https://www.adb.org/site/accountability-mechanism/main>).

I. Monitoring and Evaluation

32. The implementation of the IPP(s) will be monitored. A set of monitoring indicators will be determined during IPP implementation. The PMO will carry out monitoring and independent experts may need to be engaged; this will be specified in the IPP(s) and depends on the degree of social risk. Appropriate monitoring formats will be prepared for internal and external monitoring and reporting requirements and included in the IPP(s). It is important to organize community meetings periodically, where ethnic minorities can discuss activities and issues and/or challenges. All important issues raised, including agreements among participants on actions to be taken, will be recorded before the end of meetings. Field visits will be conducted every year to observe project progress and to provide responses to problems, if needed, during site visits. The PMO will prepare semi-annual monitoring reports on the progress of the IPP and the external experts will advise on compliance issues. If any significant issues are found, the EA and ADB will formulate and agree on a corrective action plan or an update to the IPP(s). The EA is required to implement the corrective actions and following up these actions to ensure their effectiveness.

33. Some key indicators for monitoring and evaluation of the IPP include (i) process of the consultation activities; (ii) current condition of social, cultural, political and economic status of the IP in comparison with pre project condition; (iii) status of vulnerable people as identified in the SIA; (iv) any negative impacts to the IP that was not anticipated during the preparation of IPP that required corrective actions; and (v) grievance redress issues. The external monitor will also assess whether the agreed mitigation and enhancement measures are being adequately implemented, and whether they are effective in addressing the intended results for specific target groups.

J. Institutional Arrangement

34. The Executing Agency for the project is the Ministry of Construction and Urban Development. The implementing agencies are MCUD, MOFALI and DBM. A PMO is under the overall responsibility of MCUD. Aimag Project Offices (APOs) are established in each aimag centers.

Figure 1: Program Implementation Arrangements

The organizational chart illustrates the implementation structure of the Green Inclusive Regional Agri-Business Fund (GIRAF). At the top is the **Steering Committee / Council**, which includes the Ministry of Finance (MOF) as Chair, the Ministry of Agriculture, Livestock and Fisheries (MCUD), the Ministry of Agriculture, Forestry and Irrigation (MOFALI), the Ministry of Environment and Tourism (MET), Targeted Aimag Governors, and the Development Bank of Mongolia (DBM). Below this is the **Executive Working Group (EWG)**, comprising MCUD, MOFALI, and DBM. The EWG oversees two main entities: the **Executive Agency (MCUD)** and the **Implementing Agency (DBM)**. The **Executive Agency (MCUD)** is led by the **UB PMO PMO Director ALAMGaC** and includes a **PMO Coordinator** (selected by the EWG and reporting to the PMO Director), two **Deputy Coordinators** (selected by the EWG, one for Urban/Land Development and one for Rangeland Management), and a **Deputy Coordinator** (selected by the EWG, responsible for Safeguard, Due Diligence, Procurement, and Finance). The **Implementing Agency (DBM)** is led by the **Project Implementation Unit (FI)** and includes the **Green Inclusive Regional Agri-Business Fund (GIRAF)** and an **FI Coordinator** (selected by the EWG). The **Executive Agency (MCUD)** coordinates with the **MCUD (Implementing Agency)** for implementation and policy guidance and reports to the **AIMAG Government** for implementation and policy guidance. The **Implementing Agency (DBM)** coordinates with the **MOFALI (Implementing Agency)** for implementation and policy guidance. The **AIMAG Project Office (APMO)**, under the UB PMO, includes an **AIMAG Coordinator** and three teams: Urban Team, Rangeland Team, and Agri-business Team. The **Inter-Soum Project Office (IPMO)**, under the APMO, also includes three teams: Urban Team, Rangeland Team, and Agri-business Team.

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graph TD
    SCC[Steering Committee / Council  
– MOF (Chair), MCUD, MOFALI, MET, Targeted Aimag Governors, DBM]
    EWG[Executive Working Group (EWG)  
MCUD, MOFALI, DBM]
    EA[Executive Agency (MCUD)]
    IA[Implementing Agency (DBM)]
    UBPMO[UB PMO PMO Director ALAMGaC]
    PMOC[PMO Coordinator  
Selected by EWG approved by MOF– Report to PMO Director]
    DC1[Deputy Coordinator  
(Selected by EWG)  
Under PMO Coordinator -  
Responsible for  
Urban / Land Development]
    DC2[Deputy Coordinator  
(Selected by EWG)  
Under PMO Coordinator -  
Responsible for  
Rangeland Management]
    DC3[Deputy Coordinator (Selected by EWG)  
Under PMO Coordinator – Responsible for  
Safeguard, Due Diligence, Procurement, Finance]
    PIMU[Project Implementation Unit (FI)]
    GIRAF[Green Inclusive Regional Agri-Business Fund (GIRAF)]
    FIC[FI Coordinator  
(Selected by EWG)]
    MCUD_IMPL[Coordinate with MCUD (IMPLEMENTING AGENCY)  
For implementation and policy guidance]
    MOFALI_IMPL[Coordinate with MOFALI (IMPLEMENTING AGENCY)  
For implementation and policy guidance]
    AIMAG_GOV[Report to AIMAG Government  
For implementation and policy guidance]
    APMO[AIMAG Project Office (APMO)  
Under UB PMO]
    AIMAG_COORD[AIMAG Coordinator  
Urban Team Rangeland Team Agri-business Team  
Safeguard / Due Diligence Team]
    IPMO[Inter-Soum Project Office (IPMO)  
Under APMO  
Urban Team Rangeland Team Agri-business Team]

    SCC --> EWG
    EWG --> EA
    EWG --> IA
    EA --> UBPMO
    UBPMO --> PMOC
    PMOC --> DC1
    PMOC --> DC2
    PMOC --> DC3
    IA --> PIMU
    PIMU --> GIRAF
    GIRAF --> FIC
    EA --> MCUD_IMPL
    EA --> AIMAG_GOV
    IA --> MOFALI_IMPL
    APMO --> AIMAG_COORD
    APMO --> IPMO
  
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ANNEX 1: INDIGENOUS PEOPLES IMPACT CATEGORIZATION

Date: _____

A. Instructions (i) The project team completes and submits the form to the Environment and Safeguards Division (RSES) for endorsement by RSES Director, and for approval by the Chief Compliance Officer (CCO). (ii) The classification of a project is a continuing process. If there is a change in the project components or/and site that may result in category change, the Sector Division submits a new form and requests for re-categorization, and endorsement by RSES Director and by the CCO. The old form is attached for reference. (iii) The project team indicates if the project requires broad community support (BCS) of Indigenous Peoples communities. BCS is required when project activities involve (a) commercial development of the cultural resources and knowledge of indigenous peoples, (b) physical displacement from traditional or customary lands; and (c) commercial development of natural resources within customary lands under use that would impact the livelihoods or the cultural, ceremonial, or spiritual use that define the identity and community of indigenous peoples. (iv) In addition, the project team may propose in the comments section that the project is highly complex and sensitive (HCS), for approval by the CCO. HCS projects are a subset of category A projects that ADB deems to be highly risky or contentious or involve serious and multidimensional and generally interrelated potential social and/or environmental impacts.			
B. Project Data Country/Project No./Project Title : _____ Department/ Division : _____ Processing Stage : _____ Modality : _____ <input type="checkbox"/> Project Loan <input type="checkbox"/> Program Loan <input type="checkbox"/> Financial Intermediary <input type="checkbox"/> General Corporate Finance <input type="checkbox"/> Sector Loan <input type="checkbox"/> MFF <input type="checkbox"/> Emergency Assistance <input type="checkbox"/> Grant <input type="checkbox"/> Other financing modalities: _____			
C. Indigenous Peoples Category <input type="checkbox"/> New <input type="checkbox"/> Re-categorization — Previous Category <input type="checkbox"/>			
<input type="checkbox"/> Category A	<input type="checkbox"/> Category B	<input type="checkbox"/> Category C	<input type="checkbox"/> Category FI
D. Project requires the broad community support of affected Indigenous Peoples communities.		<input type="checkbox"/> Yes <input type="checkbox"/> No	
E. Comments			
Project Team Comments:		RSES Comments:	
F. Approval			
Proposed by:		Reviewed by:	
Project Team Leader, {Department/Division} Date:		Social Safeguard Specialist, RSDD/RSES Date: :	
Social Development Specialist, {Department/Division} Date:		Director, RSES Date: :	
Endorsed by:		Approved by:	<input type="checkbox"/> Highly Complex and Sensitive Project
Director, {Division} Date:			

Indigenous Peoples Impact Screening Checklist

KEY CONCERNS (Please provide elaborations on the Remarks column)	YES	NO	NOT KNOWN	Remarks
A. Indigenous Peoples Identification				
1. Are there socio-cultural groups present in or use the project area who may be considered as "tribes" (hill tribes, schedules tribes, tribal peoples), "minorities" (ethnic or national minorities), or "indigenous communities" in the project area?				
2. Are there national or local laws or policies as well as anthropological researches/studies that consider these groups present in or using the project area as belonging to "ethnic minorities", scheduled tribes, tribal peoples, national minorities, or cultural communities?				
3. Do such groups self-identify as being part of a distinct social and cultural group?				
4. Do such groups maintain collective attachments to distinct habitats or ancestral territories and/or to the natural resources in these habitats and territories?				
5. Do such groups maintain cultural, economic, social, and political institutions distinct from the dominant society and culture?				
6. Do such groups speak a distinct language or dialect?				
7. Has such groups been historically, socially and economically marginalized, disempowered, excluded, and/or discriminated against?				
8. Are such groups represented as "Indigenous Peoples" or as "ethnic minorities" or "scheduled tribes" or "tribal populations" in any formal decision-making bodies at the national or local levels?				
B. Identification of Potential Impacts				
9. Will the project directly or indirectly benefit or target Indigenous Peoples?				
10. Will the project directly or indirectly affect Indigenous Peoples' traditional socio-cultural and belief practices? (e.g. child-rearing, health, education, arts, and governance)				
11. Will the project affect the livelihood systems of Indigenous Peoples? (e.g., food production system, natural resource management, crafts and trade, employment status)				
12. Will the project be in an area (land or territory) occupied, owned, or used by Indigenous Peoples, and/or claimed as ancestral domain?				
C. Identification of Special Requirements <i>Will the project activities include:</i>				
13. Commercial development of the cultural resources and knowledge of Indigenous Peoples?				

KEY CONCERNS (Please provide elaborations on the Remarks column)	YES	NO	NOT KNOWN	Remarks
14. Physical displacement from traditional or customary lands?				
15. Commercial development of natural resources (such as minerals, hydrocarbons, forests, water, hunting or fishing grounds) within customary lands under use that would impact the livelihoods or the cultural, ceremonial, spiritual uses that define the identity and community of Indigenous Peoples?				
16. Establishing legal recognition of rights to lands and territories that are traditionally owned or customarily used, occupied or claimed by Indigenous Peoples?				
17. Acquisition of lands that are traditionally owned or customarily used, occupied or claimed by Indigenous Peoples?				

D. Anticipated project impacts on Indigenous Peoples

Project component/ activity/ output	Anticipated positive effect	Anticipated negative effect
1.		
2.		
3.		
4.		
5.		

Note: The project team may attach additional information on the project, as necessary.

ANNEX 2: OUTLINE OF AN INDIGENOUS PEOPLES PLAN

1. This outline is part of the Safeguard Requirements 3. An Indigenous Peoples plan (IPP) is required for all projects with impacts on Indigenous Peoples. Its level of detail and comprehensiveness is commensurate with the significance of potential impacts on Indigenous Peoples. The substantive aspects of this outline will guide the preparation of IPPs, although not necessarily in the order shown.

A. EXECUTIVE SUMMARY OF THE INDIGENOUS PEOPLES PLAN

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

B. DESCRIPTION OF THE PROJECT

3. This section provides a general description of the project; discusses project components and activities that may bring impacts on Indigenous Peoples; and identify project area.

C. SOCIAL IMPACT ASSESSMENT

4. This section:

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

D. INFORMATION DISCLOSURE, CONSULTATION AND PARTICIPATION

5. This section:

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

E. BENEFICIAL MEASURES

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

F. MITIGATIVE MEASURES

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

G. CAPACITY BUILDING

8. This section provides measures to strengthen the social, legal, and technical capabilities of (a) government institutions to address Indigenous Peoples issues in the project area; and (b) Indigenous Peoples organizations in the project area to enable them to represent the affected Indigenous Peoples more effectively.

H. GRIEVANCE REDRESS MECHANISM

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

I. MONITORING, REPORTING AND EVALUATION

10. This section describes the mechanisms and benchmarks appropriate to the project for monitoring and evaluating the implementation of the IPP. It also specifies arrangements for participation of affected Indigenous Peoples in the preparation and validation of monitoring, and evaluation reports

L. INSTITUTIONAL ARRANGEMENT

11. This section describes institutional arrangement responsibilities and mechanisms for carrying out the various measures of the IPP. It also describes the process of including relevant local organizations and NGOs in carrying out the measures of the IPP.

J. BUDGET AND FINANCING

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

The Project welcomes complaints, suggestions, queries and comments regarding project implementation. We encourage persons with grievance to provide their name and contact information to enable us to get in touch with you for clarification and feedback.

☐ Request for Confidentiality

☐ Legal ☐ Administrative ☐ Social ☐ Financial ☐ Technical ☐ Environment ☐ Other

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ANNEX 4. ETHNIC GROUPS IN THE 3 TARGETED AIMAGS OF TRANCHE 1

MONGOLIA			Bayan Ulgii			Uvs			Khovd		
Ethnic groups	Number of people by ethnic group	% of the national population	% of the ethnic group in Bayan Ulgii (number of people of ethnic group in Bayan Ulgii/number of people of ethnic group in Mongolia)	approximate population by ethnic group (number of people of the ethnic group in Mongolia x % in the aimag)	population in the aimag according to 2015 census and share of each ethnic group against this number	rate of the ethnic group in Uvs (number of people of ethnic group in Uvs/number of people of ethnic group in Mongolia)	approximate population by ethnic group (number of people of the ethnic group in Mongolia x rate in the aimag)	population in the aimag according to 2015 census and share of each ethnic group against this number	rate of the ethnic group in Khovd (number of people of ethnic group in Khovd/number of people of ethnic group in Mongolia)	approximate population by ethnic group (number of people of the ethnic group in Mongolia x rate in the aimag)	population in the aimag according to 2015 census and share of each ethnic group against this number
Source	Census, 2015		Census, 2015	Calculation	Total: Census 2015, %: Calculation	Census, 2015	Calculation	Total: Census 2015, %: Calculation	Census, 2015	Calculation	Total: Census 2015, %: Calculation
TOTAL	2 970 355	100%		95 395	100189		79203	80763		81198	83517
Khalkh	2 510 821	84,5%	0,0%	-	0,00%	0,4%	10 043	12,44%	0,9%	22 597	27,06%
Kazakh	114 506	3,9%	75,5%	86 452	86,29%	0,1%	115	0,14%	8,8%	10 077	12,07%
Durvud	70 970	2,4%	1,5%	1 065	1,06%	48,6%	34 491	42,71%	7,4%	5 252	6,29%
Bayad	50 843	1,7%	0,1%	51	0,05%	54,3%	27 608	34,18%	0,3%	153	0,18%
Buriad	37 867	1,3%	1,6%	606	0,60%	0,3%	114	0,14%	0,2%	76	0,09%
Zakhchin	30 110	1,0%	0,1%	30	0,03%	0,2%	60	0,07%	68,0%	20 475	24,52%
Dariganga	26 834	0,9%	0,1%	27	0,03%	0,3%	81	0,10%	0,2%	54	0,06%
Uriankhai	24 881	0,8%	22,9%	5 698	5,69%	0,5%	124	0,15%	26,1%	6 494	7,78%
Darkhad	22 579	0,8%	0,0%	-	0,00%	0,0%	-	0,00%	0,2%	45	0,05%
Khotogoid	21 443	0,7%	0,0%	-	0,00%	0,0%	-	0,00%	0,0%	-	0,00%
Torguud	14 287	0,5%	0,1%	14	0,01%	0,8%	114	0,14%	42,1%	6 015	7,20%
Uuld	12 787	0,4%	0,2%	26	0,03%	0,4%	51	0,06%	41,0%	5 243	6,28%
Khoton	11 580	0,4%	0,0%	-	0,00%	49,9%	5 778	7,15%	0,4%	46	0,06%
Myangad	5 993	0,2%	0,2%	12	0,01%	3,1%	186	0,23%	66,0%	3 955	4,74%
Tuva	4 038	0,1%	34,2%	1 381	1,38%	0,2%	8	0,01%	12,4%	501	0,60%
Barga	2 605	0,1%	0,0%	-	0,00%	1,5%	39	0,05%	0,6%	16	0,02%
Sartuul	2 166	0,1%	0,9%	19	0,02%	9,0%	195	0,24%	2,1%	45	0,05%
Uzemchin	2 060	0,1%	0,0%	-	0,00%	0,3%	6	0,01%	0,1%	2	0,00%
Tsaatan	541	0,0%	0,0%	-	0,00%	2,4%	13	0,02%	0,0%	-	0,00%
Khamnigan	412	0,0%	0,0%	-	0,00%	0,0%	-	0,00%	0,0%	-	0,00%
Kharchin	332	0,0%	1,8%	6	0,01%	0,0%	-	0,00%	0,0%	-	0,00%
Eljigen	315	0,0%	0,0%	-	0,00%	55,9%	176	0,22%	1,0%	3	0,00%
Uzbek (Chantuu)	203	0,0%	4,4%	9	0,01%	0,0%	-	0,00%	73,9%	150	0,18%
Korchin			0,0%			0,0%			4,2%		
Other ethnicities	1 401	0,0%									
Other nationalities	781	0,0%									

A large part of the ethnic group resides in the aimag (> 10% of the national number of residents of this ethnic group)

Main ethnic groups in the aimag (at least 85% of the population of the aimag is made of these ethnic groups)

Data not available