

Social Impact Management Framework

**General Education Modernization (P163714)**

Ministry of Education

Sri Lanka

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## **ABBREVIATIONS AND ACRONYMS**

AP	Affected Person
A-RAP	Abbreviated Resettlement Action Plan
BP	Business Procedure
CDD	Community Driven Development
DSO	Divisional Secretary's Office
CSO	Civil Service Organizations
EMF	Environmental Management Framework
GEM	General Education Modernization
GoSL	Government of Sri Lanka
GN	Grama Niladhari
GRC	Grievance Redress Committees
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
HH	Household
LA	Local Authority
LAA	Land Acquisition Act
LAR	Land Acquisition Regulations
LDO	Land Development Ordinance
M&E	Monitoring and Evaluation
MIS	Management Information System
NIRP	National Involuntary Resettlement Policy
OM	Operations Manual
OP	Operational Policies
PC	Provincial Council
PMU	Project Management Unit
RPF	Resettlement Planning Framework
SIMF	Social Impact Management Framework
SSR	Social Screening Reports
TOR	Terms of Reference
TOT	Training of Trainer
WB	World Bank

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## **1. Introduction**

The General Education Modernization (GEM) project supports the Government of Sri Lanka (GoSL) modernize the primary and secondary education systems in conformity with benchmarks observed in systems of education in middle-income and high income countries. The Project will build on the current - Transforming School Education Project (TSEP) to broaden and deepen the Bank's assistance for the general education sector. The Bank's engagement will involve support for new and innovative initiatives in framing educational policies consistent with the country's development goals.

The project is expected to significantly expand and improve the performance of the general education sector. The main beneficiaries of the Project will be school students as well as the academic and managerial staff of the schools. Additionally, over the medium-term, the Project will benefit technical education and vocational training institutions and higher education institutions while in the long-term, public and private sector employers are expected to benefit by being able to employ better educated individuals.

The Project will not directly support civil works that requires land acquisition or lead to involuntary resettlement. However, the wider government program that the project will contribute to may include such activities, especially in relation to expansion of schools. These activities are likely to take place in spaces in existing schools or other public lands, and acquisition of private land is likely to be minimal, if any. As such, impacts from land acquisition during the construction phase are expected to be minimal, if any, and easily manageable with inbuilt due diligence. Accordingly, as a risk mitigation measure, an Environmental and Social Management Framework (ESMF) and an accompanying Social Impact Management Framework (SIMF) have been prepared to guide project implementation.

## **2. Project Description**

GEM will support the government to develop systems to enhance the quality of education across the county through several development initiatives. The project will be organized under the two components with their brief descriptions as follows:

GEM will support the GoSL to modernize the primary and secondary education system in line with international developments in middle-income and high-income education systems. The Project will build on the current World Bank Transforming School Education Project (TSEP) to broaden and deepen the Bank's assistance for the general education sector. GEM will be organized into two components, as outlined below. The Bank's engagement will be broadened through support for new and innovative education development initiatives. The Bank's engagement will be deepened through assistance to strengthen and scale up initiatives that have been successful in the past.

## **Component One: Enhancing Quality and Strengthening Stewardship of Primary and Secondary Education (US\$ 90 million)**

### **Sub-Component One: Curriculum Modernization and Diversification**

The objective of this sub-component is to modernize and diversify the curriculum of general education to make students' learning experiences more compatible with the changes in Sri Lanka's society and economy. This will include placing greater emphasis on strategic subjects for economic development such as English language and mathematics. It will also support the broadening of choices in the GCE A-level grades so that students have flexibility to select subjects from among the arts, management, science, technology and vocational streams. This will require a strategic focus on career guidance for children after the GCE O-level examination; which from 2017 onwards will no longer be a pass/fail examination, but will instead be used to enable students to select the GCE A-level curriculum streamed most in line with their aptitudes and abilities. The country is introducing digitally-enabled learning material into the school curriculum, as modern children use digitally-enabled instruments such as mobile phones and have digital aptitudes. The Project will assist the country to develop digitally-enabled learning material for English language and mathematics, with a focus on children from schools located in more disadvantaged regions.

#### **Improving English Language Learning**

English-language skills are widely acknowledged as central to success in the competitive global knowledge economy. The GoSL is strongly committed to English Language Learning Enhancement (ELLE) in schools. Accordingly, GEM will prioritize support for the development of a strong and effective ELLE program for primary and secondary grades. The objective of this component is to ensure that students leave the general education system with an adequate level of proficiency in the key language skills of vocabulary, reading and writing. GEM will support ELLE to implement the following activities in schools: (a) create an English language immersion environment to produce an acquisition rich environment for students to acquire the language, where day-to-day conversation, and extra and co-curricular activities, would be in English during at least a part of the school week; (b) encourage and affirm students who read books in the English language, and engage with English language technology, as appropriate to their ages; (c) encourage families to create an environment at home which fosters English language learning, including English language reading material and TV, and discussion and conversation in English at home; (d) promote co-curricular and extra-curricular activities such as English literary, drama and debating societies; and (e) other innovative activities to facilitate English language learning. Initially GEM will support the ELLE program in a selected set of schools. Based on the experience of the ELLE in these schools, it will be fine-tuned and expanded to further schools. The initial set of schools selected will include schools which send substantial numbers of arts and management students to universities. The school-based activities of ELLE would be supported through school-management committees under the EPSI. School-based learning enhancement grants (SBLEGs), which will be a key part of the EPSI, would assist the activities to improve English language skills. The amount of resources provided to schools through SBLEGs would be increased, over time, as an incentive and reward for schools that perform better in improving the English language skills of their students.

GEM would also support the MoE and the National Institute of Education (NIE) to undertake a review/revision of the English language syllabus, textbooks, and teaching materials for primary and secondary grades. Current implementation feedback suggests that the English syllabus is not sufficiently-aligned with textbooks and teaching materials, which impedes the English teaching and learning process. The syllabus and textbooks will undergo a thorough review process to check for quality as well as internal

consistency. Another broad area of support would be for English teacher training. This would include support for pre-and in-service teacher training and development programs as well as the capacity building of Regional English Support Centers (RESCs) to deliver high-quality in-service teacher training. GEM will support activities aimed at improving English in the most disadvantaged communities. This would include targeted remedial interventions for students in rural and estate schools.

### Improving Mathematics Learning

Fundamental math skills are crucial for high performance in many sectors of the modern workplace. These skills are also essential for success in everyday life. Foundational mathematical skills must be developed at early stages of the education system and once this window of opportunity is missed, it is difficult to remedy at later stages of the education system. GEM will support schools to: (a) improve their mathematics teaching-learning environments through the provision of equipment and technology; (b) assist Teachers Centers (TCs) to design and implement high quality in-service mathematics teacher coaching and training programs, based on the subject content and pedagogical training needs of teachers; and (c) provide support to develop effective remedial programs for early grade mathematics, to ensure that all children leave the primary education stage with a strong grasp of fundamental mathematics. Special attention would be targeted at remedial interventions for students in rural and estate schools where mathematics outcomes are especially low. In addition, special support would be provided to GCE A-level Arts and Management students who take mathematics as a subject. This would improve their employment and higher education opportunities. The school-based learning enhancement grants would assist the activities to improve mathematics skills. The quantity of funds provided to schools through these grants would be increased, over time, as an incentive for schools that improve the mathematics learning outcomes of their students.

### Strengthening Career Guidance

Career guidance is important for students as expert guidance on future academic and career choices. GEM will assist schools to develop a distinct cadre of career guidance teachers. The career guidance provided in schools will focus on the range of activities needed to better equip students to plan well for life within senior school and the post-school labor market, in line with their aptitudes, competencies and interests. It will include activities such as: (a) career information and provision of advice; (b) competency assessment; (c) mentoring; (d) supporting career decision-making; and (e) developing career management skills. GEM will support the development of tools to help students identify their talents/interests relating to possible future career pathways. In addition, principals, teachers, students and parents will be assisted to develop an understanding of the important role career guidance and career education can play in students' lives. Consideration will be given to having civic education teachers become career guidance teachers, where feasible, as they already deliver careers education. GEM will also assist the NIE staff to train career guidance teachers and the career guidance unit through the development of a diploma in career guidance. Annual 'career fairs' for students from Grade 9 upwards, also open to parents, will feature in all nine provinces. Special attention under this activity will be given to girls, to promote female labor force participation and better employment prospects in adulthood.

### Promoting Digital Learning Material

GEM will support the Education Publications Department (EPD) to produce high quality, learner friendly digital learning resources, such as smart textbooks, with special emphasis on English and mathematics. In these subjects, the EPD will produce both print versions of textbooks and interactive e-books which are attractive for students and enable teachers to engage in novel teaching methods. Particular attention would be given to e-textbooks and reading material for children with special learning needs. These digitalized

books could be copied to DVDs and distributed to students. Students could access them in school or elsewhere. GEM would also support the EPD with the preparation of books in cross-cutting topics such as mental health, reproductive and sexual health, and psycho-social health education. GEM would also support the EPD with human resource development of young staff members in textbook writing, and designing and publishing of digital learning resources.

## **Sub-Component Two: Teacher Development**

Teacher development and education will be a strategic component supported by the Project. GEM will support the continuous improvement of the competencies, skills and knowledge of the stock of teachers through on-site school-based and off-site institutions based continuing teacher development programs. In addition, GEM will also support the pre-service teacher education of teachers by strengthening the National Institute of Education (NIE) and National Colleges of Education (NCOEs). Three specific initiatives will be supported under this component.

### School-Based Professional Teacher Development

School-based professional teacher development (SBPTD) is internationally recognized as the most effective form of continuing teacher development. GEM will support the GoSL to develop the current school-based teacher development (SBTD) framework to a more advanced program. Under SBPTD, teachers will be encouraged to continuously improve their pedagogical skills and competencies based on their everyday teaching experiences at the classroom level, and through the sharing of knowledge and experiences with teacher colleagues. SBPTD seeks to produce the following results: (a) more specifically link teacher development activities, including subject knowledge and pedagogical skills, to student learning needs; (b) encourage teachers to implement innovative teaching-learning methods to promote the socio-emotional skills of students; and (c) more closely integrate teacher development needs within the processes of annual school planning under the Enhanced Program for School Improvement (EPSI) and feedback from the quality assurance activities of the Sri Lanka Education Inspection Service (SLEIS). The MoE and Provincial Education Authorities (PEAs) will support the process by strengthening the monitoring and support mechanisms to ensure that SBPTD activities are conducted effectively to target the key teaching-learning needs of schools, and that existing resources for SBPTD are fully utilized by schools. Schools will set aside a minimum of six days per year, two days per terms, for SBPTD activities. These SBPTD activities will be conducted within the school holidays and close to the commencement of the next school teaching term. Resources for the SBPTD would be provided to schools. The schools that perform well in achieving the results of the SBPTD program would receive more resources over time, as an incentive and reward for good performance.

### Teacher Centers (TCs)

The Project will promote the academic and professional competencies of teachers through teacher education institutions such as Teacher Centers (TCs). There are about 105 TCs, approximately one per zone. These TCs support continuous teacher training through: (a) continuous teacher training programs to improve and update the subject content knowledge of teachers; (b) facilitating in-service teacher training programs to strengthen teaching skills and methods; (c) supporting school-based professional development programs based on demand from schools; (d) conducting vocational counselling programs; (e) providing a meeting place for teachers; (f) serving as a resource center for teachers; (g) providing residential interactive experiences for teachers who have been trained only through distance-learning mode; and (h) providing opportunities for field training of student teachers. Under GEM, the TCs would especially support in-service teacher training in key subjects and areas including civic education, social sciences, primary

education, counselling, and career guidance. GEM will support: (a) the capacity building of administrators and academic staff of TCs; (b) the improvement of their teaching-learning environments through the provision of equipment and technology; (c) the TCs to design and implement high quality in-service training programs based on the training needs of teachers; (d) the development of standards and guidelines for TCs; and (e) the establishment of a mechanism to enable the TCs to function effectively by granting them financial autonomy and converting them to cost centers.

### Pre-service Teacher Education

GEM will assist the development of the pre-service teacher education institutions, specifically the NIE and NCOEs, to modernize courses and programs, especially in the use of technology for teaching and learning. Currently there are 19 NCOEs which annually produce around 3,300 diploma holders (trained teachers) who are qualified to teach at either primary (Grades 1-5) and junior secondary (Grades 6-9) level. The curriculum and the syllabi of NCOEs are developed by the NIE. The curriculum consists of an academic component, a professional component and a general component, which are implemented over a 2-year-period, followed by a one-year internship in schools. The syllabi consist of details about the competencies, competency levels, subject content, methodology, time and assessment processes. Activities supported by the GEM Project would include: (a) modernizing the pre-service teacher education curricula; (b) human resource development of young teacher educators to obtain Masters' degrees from reputable overseas universities; (c) strengthening the equipment, technology and facilities of the NCOEs. The Project will place special emphasis on the NCOEs training teachers in subjects such as English, civic education, social sciences, primary education, counselling, and career guidance.

### **Sub-Component Three: System Level Quality Assessment**

#### Quality Assurance

GEM will support the GoSL to undertake impartial quality assurance of the school system through the development of Sri Lanka Education Inspection Service (SLEIS). GEM will assist the development of policies, protocols, guidelines, working practices and tools, procedures and pilot inspections that comply with best international practice in the external evaluation of schools. The role that stakeholders, including students, teachers, and community representatives such as parents, past pupils and local well-wishers through the school management committees (SMCs) and school development committees (SDCs), can play in supporting school self-evaluations will be a key focus. In addition, GEM will assist the Inspectorate to deliver services that contribute to the nurturing and development of schools, with special attention to the more disadvantaged schools. Inspection criteria will be open and procedures transparent. Inspection will take full account of a school's self-evaluation. Greater focus will be given to delivering qualitative rather than quantitative evaluations. In all quality assurance matters, the same six-point scale and terms, as used in each school's self-evaluation, will be applied to evaluate practice, as this aids consistency and understanding. GEM will assist in the initial training of newly appointed inspectors, including part-time associate inspectors drawn from school principals and other relevant provincial and zonal officers. The thrust of inspections will be on supporting schools through school improvement, including identifying best practice and sharing this widely, identifying aspects for improvement and reporting openly to schools, parents and the community. In addition to the inspection of individual establishments, the SLEIS will inspect widely across schools and report on specific themes. Inspection reports will enable the MoE, NIE, provinces, zones and schools to improve practice and thus raise the quality of leadership, teaching, students' learning experiences and achievements.

## Modernized Assessment of Learning Outcomes

The assessment of learning outcomes is extremely important for policy makers and education technocrats. These assessments provide policy makers with information on how well students are learning; on disparities in learning outcomes between geographical areas or population sub-groups; factors associated with learning levels; and changes in learning outcomes over time. GEM will support the GoSL to conduct a series of learning assessments reflecting modern international practices. GEM will assist Sri Lanka to enrich the regular national assessments of learning outcomes through the incorporation of international modules from the PISA. This will enable schools to adapt their curriculum implementation activities to the learning framework of the PISA. GEM will also support the country as it seeks to qualify for the next PISA which will be conducted in 2021. This will help benchmark learning levels in Sri Lanka to international standards. In addition, GEM will support the country to implement the Early Grade Reading Assessments (EGRA) and Early Grade Mathematics Assessments (EGMA). These will provide tools for the assessment of foundational early grade competencies in reading and mathematics. The assistance from GEM will cover the human resource development and capacity building of staff in the MoE, NIE, and the universities, to undertake international quality assessments; analyze and report on the information from the various types of assessments; and use the findings and conclusions from these assessments for policy and program development. The range of assessments supported under GEM will be useful for policy makers and technocrats in areas such as curriculum development, pre-service teacher education, continuing teacher development, and in the production of educational material, including textbooks. The variety of learning assessments will also provide feedback to the PEAs on the performance of the education systems in the provinces. The assessments will be designed to enable comparisons across provinces and by other groupings, thereby enabling education policy makers to identify areas and groups that are lagging behind in terms of achievement, and to design strategies to address the special requirements of these lagging regions and/or groups.

### **Sub-Component Four: Enhanced Program for School Improvement**

GEM will support the strengthening of school-based development activities and their management through the Enhanced Program for School Improvement (EPSI). The EPSI will help schools conduct a regular school-based management cycle of planning, implementation, school self-review, reporting of results, and further fine-tuning and updating the school plans. School level activities, including the SBPTD program, will be supported through the EPSI. Under the EPSI, there will be greater budgetary provision for schools through school-based learning enhancement grants (SBLEG). The SBLEG will be given to schools based on a formula which aims to give more support to disadvantaged schools. The SBLEG can be used by schools for activities that promote learning outcomes and socio-emotional skills of students, and for teacher development under the SBPTD program. Schools will have greater authority to manage funds with wider spending thresholds. There will also be better accountability to local school communities through school self-evaluation reports. These reports will describe the degree of attainment of the school's performance targets against the school improvement plan for that year. The self-evaluation reports will also provide the basis for the external reviews from the School Inspectorate. The reports would be made available to the public, including parents and students. The information provided in the self-evaluation report is also expected to improve school level planning and implementation. The new EPSI model will have a special focus on achieving the following results: (a) facilitating the participation of key stakeholders from the local communities, such as parents, past pupils, and local well-wishers, in priority school development activities; and (b) using SBLEGs to empower and enable schools to make decisions, and implement and monitor innovative activities to improve teaching and learning, with a key focus on improving learning outcomes and socio-emotional skills of students. The SBLEGs will also be used as an incentive for better school performance, as schools which show good progress on key outcomes over time would be rewarded with

greater resources. School development committees (SDCs) with wider school communities will develop budget estimates, formulate school improvement plans, and make arrangements for implementation of school decisions. SDCs will also undertake annual reviews of school performance and report to the wider stakeholders and the Zonal Director of Education. School management committees (SMCs) will have teams which focus specially on implementation of SBPTD, ELLE, the promotion of good citizenship education, and the promotion of socio-emotional skills of students.

### **Sub-Component Five: Strengthening Education Leadership and Management**

School leadership has become a priority in the international education policy agenda. School principals play a vitally important role in improving school outcomes through a variety of activities, including ensuring a favorable learning environment in schools, positively influencing the motivation and capabilities of teachers, and promoting collaboration between the school and local communities. In the past, many school principal positions have been occupied by unqualified acting principals. The MoE has initiated a program to replace these with properly qualified principals. The GEM will assist the MoE to implement this program. Important leadership and management skills that principals will be expected to acquire, under GEM, are the abilities to: (a) clearly articulate the vision and educational goals of schools; (b) organize schools to implement the curriculum effectively; (c) match the pedagogical competencies of teachers to the classroom and co-curricular needs of schools; (d) appraise staff, especially teachers, and progressively improve their competencies and skills; (e) motivate staff and students towards high performance; (f) providing leadership for school management and administration, especially in the optimum utilization of human, physical and financial resources to promote school goals; (g) develop close ties with community organizations, including parent-teacher associations and past pupils associations; and (h) maintain high visibility and accessibility to pupils, teachers, parents and other community members. GEM will support the MoE to redefine the school leadership and management responsibilities and build the capacities of school principals and section heads for school leadership and management. The specific capacity building needs of principals of primary schools compared to secondary principals will be given special attention. This capacity building will also help implement the EPSI. This will be especially needed as greater management responsibility and financial powers are devolved to schools.

GEM will assist the MoE and PEAs to develop the human resources of young officials in the Sri Lanka Education Administrative Service (SLEAS), Sri Lanka Teacher Educators Service (SLTES), and curriculum developers in the NIE. Young staff from these institutions will be supported through scholarships for Masters degrees, in relevant subjects, in internationally recognized universities abroad. This will contribute to succession planning so that when current highly-trained staff retire there is a cadre of equally highly-trained, experienced staff ready to take their place. SLEAS staff will be given opportunities for Masters degrees in Education Planning, and in Education Administration and Management. NIE curriculum developers and teacher educators will be given opportunities for Masters degrees in subjects relevant for their disciplines. Special emphasis will be given to subjects such as English, civic education, social studies, and primary education.

GEM is an ambitious and wide-ranging project, and as the reforms unfold, further capacity building, especially organizational and technical capacity, will be critical for successful implementation of the reform program. In particular, the MoE and the Provinces (including zones and divisions) will require capacity building in the use of modern equipment and technology for managerial tasks, information retrieval and processing, efficient forward planning of routine services, logistics handling and administration, and English language fluency and competence. This capacity building will be supported under GEM, drawing on resources available in the country, as well as strategically selected institutions overseas.

## **Sub-Component Six: Promoting Social Equity and Inclusion through Education**

Developing good citizens is an important dimension of a general education system. In the context of Sri Lanka, which experienced a 30-year ethnic based civil war, promoting a favorable environment for a modern liberal, multi-ethnic, multi-religious democracy is extremely important. This sub-component will support the GoSL to implement appropriate initiatives in this direction. This sub-component will also promote inclusion to respond to the diversity of needs among all students, especially children who are at risk of being excluded, marginalized, or otherwise disadvantaged in their pursuit of educational opportunity.

### Supporting Social Cohesion through Education

In Sri Lanka, the stated aim of civic education is to help achieve a sustainable peace in the country. The history taught in secondary schools also plays a crucial role in shaping national identity. As such, there are obvious synergies between the objectives of the civic education and history syllabi and the efforts of the Peace and Reconciliation Unit (PERU), which is a unit tasked with promoting social cohesion through education. GEM will support the promotion of social cohesion through the development and implementation of the civic education and history curricula. GEM support for the broader social cohesion agenda will focus on the development and implementation of effective approaches to teaching civics and history in ways that promote respect for diversity and social inclusion. GEM support in this area will focus more specifically on the developing those aspects of the curriculum that contribute to sustainable social cohesion efforts. This will include support for reviewing and strengthening the social cohesion aims of the curriculum and textbooks, sensitization of teachers, in-service advisors (ISAs), school principals on the crucial role of education in the promotion of social cohesion, and the training of teachers, to teach the relevant areas of the curriculum. Exchange programs, co-curricular activities and extra-curricular activities among schools with different ethnic and religious populations, such as literary events, drama, and music and artistic events, will be supported.

### Strengthening Inclusive Education

Inclusive education is concerned with providing appropriate responses to the broad spectrum of learning needs. There is growing evidence that schools with an inclusive approach are the most effective at combating discriminatory attitudes, building an inclusive society and achieving learning for all. GEM will support the development of an inclusive approach to education in schools. This approach should be guided by a strong policy on inclusion, which describes Sri Lanka's vision for inclusive education and explains how the capacity of the education system can be strengthened to include all learners in education and to help them achieve their full potential. Specifically, GEM will support teacher training in special educational needs (SEN), mainly through certificated programs from the NIE, with a view to providing schools with access to teachers with specific training in SEN. Such a teacher would be able to assist other teachers in the school, advise on, and coordinate, provision for children with SEN as well as acting as a resource to support other children at risk of being marginalized in the system. Through all these support activities, GEM will aim to help all teachers have the knowledge and skills to provide for students with SEN in an inclusive environment.

### Strengthening School Health, Counselling and Well-Being

GEM will support the development of a School-Based Mental Health Program (SMHP), which would be embedded into School Health and Nutrition Program (SHNP)<sup>1</sup>. This expanded SHNP, including the

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<sup>1</sup> The official name of the SHNP in Sri Lanka is the School Health Promotion Program.

SMHP, will promote a two-tiered approach to mental health through universal and targeted interventions for students. Universal services would be aimed at promoting resilience among students by developing their socio-emotional skills and creating a safe social environment for children through: (a) programs to sensitize the school community to the importance of mental health and wellbeing; (b) the training of teachers and other school staff in the identification of mental health issues and measures to prevent further escalation; and (c) cross-cutting approaches and strategies that contribute to the development of a healthy psychosocial environment for children. An effective SMHP will require a strong school-based counselling program, not only to provide targeted interventions for students at risk because of mental health issues, but also to play a coordinating role in the delivery of school-based mental health programs. As such, GEM will also support the development of school-based counselling services. This will include the establishment of counselling centers in schools and the training of school-based mental health focal points/counsellors. These school-based counselling units will work collaboratively with the mental health professionals under the Ministry of Health (MoH), building on existing mechanisms for coordination between the MoE and MoH.

### **Component Two: Program Operations and Technical Support (POTS) (US\$ 10 million)**

The POTS component will be an Investment Project Financing (IPF) credit for an amount of US\$10 million. The main objective of this component is to assist the MoE to coordinate, implement and monitor the GEM Program component through operational and technical assistance (TA). The POTS will cover operations and monitoring support; technical assistance; program coordination; capacity building; policy research and evaluation; and communication. There will be an Operations Monitoring and Support Team (OMST) in the MoE to implement the POTS. The OMST will be staffed by education experts linked to the sub-components of the GEM. These will be experts with high-quality expertise and a proven track record of performance in the relevant areas. In addition, the OMST will have managerial and administrative staff. The managerial and administrative staff will be recruited under the GoSL circular applicable for Cadre and Remuneration Management of Projects. Consultants needed will be recruited under the World Bank Consultant Guidelines.

The POTS component will finance goods and consultant and non-consultant services. This will include equipment, software, staff payments and other incremental operating costs, rental of space for the OMST office, workshops, conferences, symposia, resource persons, transport, and office furniture for the OMST. All activities under the POTS component will be subject to technical prior review and no objection by the World Bank's general education task team. This will include the prior review of the TORs for studies and consultancies and the consultants selected, and all overseas HRD programs.

### **Zero Component: Contingent Emergency Response Component (CERC) (US\$ 0):**

This component will allow for rapid reallocation of project proceeds in the event of a natural or man-made disaster or crisis that has caused or is likely to imminently cause a major adverse economic and/or social impact. To trigger this component, the GoSL would need to declare an emergency, a state of a disaster or provide a statement of fact justifying the request for the activation of the use of emergency funding. To allocate funds to this component the GoSL may request the World Bank to re-allocate project funds to support response and reconstruction. If the World Bank agrees with the determination of the disaster, and associated response needs, this proposed component would draw resources from the unallocated expenditure category and/or allow the government to request the World Bank to re-categorize and reallocate financing from other project components to cover emergency response and recovery costs. This component could also be used to channel additional funds should they become available as a result of an emergency. Disbursements would be made against a positive list of critical goods or the procurement of

works, and consultant services required to support the immediate response and recovery needs. An Operations Manual will apply to this component, which will be part of the project operations manual, detailing financial management, procurement, safeguards and other necessary implementation arrangements.

### **3. Purpose of SIMF**

The main purpose of this SIMF is to identify potential social impacts early in the GEM project cycle as well as the government program and to provide broad guidelines outlining measures, processes, institutional arrangements, procedures, tools and instruments that need to be adopted by the project and integrated into project implementation to identify and mitigate adverse social impacts, if any.

The Project will not directly support civil works that requires land acquisition or lead to involuntary resettlement, but the wider government program that the project will contribute to may include such activities. Because of the linked nature of the Project, GEM project has triggered Involuntary Resettlement (OP 4.12). Even then, reconstruction and rehabilitation of existing buildings and/or construction of new buildings are expected to take place on existing schools or other public lands thus, the need for private land acquisition are envisaged to be minimal, if any. However, possible impacts from loss of land or livelihoods from land acquisition, however minimal, exists. Thus, adequate mitigation measures are required to be put in place during project implementation. While potential social impacts caused by construction activities are not likely to have large-scale irreversible impacts, they can be managed with inbuilt due diligence prescribed in the SIMF. Further, the project covers the entire island and hence SIMF becomes an essential prerequisite in implementing the varied modernizing initiatives. Specifically, this document will assist in identifying the places, people and current conditions that may be adversely affected, and provide guidance for minimizing adverse social impacts, and accordingly developing mitigation measures.

### **4. Policy and Regulatory Framework**

This section aims at outlining the legal and policy frameworks related to social safeguards of both the GOSL and the World Bank.

#### ***4.1 Government Policies, legal and regulatory framework***

The national level framework covers the legal and regulatory framework, policies related social safeguards, especially related to land acquisitions, use and regulatory roles of the relevant agencies as described below:

##### **4.1.1 Legal and regulatory framework in Sri Lanka on Land Acquisition**

The Sri Lankan laws governing matters relating to land, such as land acquisition, recovery of state lands, claiming rights of acquisitive prescription, declaration of reservations, compensation for property losses and compensation for improvements in Sri Lanka are enshrined in a number of legislative enactments, namely but not limited to the following:

- . (a) Land Acquisition Act (LAA) No 9 of 1950 as amended and LA Regulations of 2008
- . (b) State Lands Act No 13 of 1949
- . (c) State Lands (Recovery of Possession) Act No 7 of 1979
- . (d) Land Development Ordinance No 19 of 1935
- . (e) Urban Development Authority Law No 41 of 1978
- . (f) Temple and Devalagam Act
- . (g) Crown Land Encroachment Ordinance

The brief details of the major legislative tools and regulation of the above are described below:

a) Land Acquisition Act No 9 of 1950 and LA Regulations of 2008

Land acquisition for public purposes is guided by the provisions, and procedures are outlined in the Land Acquisition Act No. 9 of 1950. Further, the LA Regulations, 2008 were passed in Parliament on March 17, 2009 and made effective by the Government Gazette no 1596/12 of April 7, 2009. The LAA provides a framework for facilitating land acquisition within the country. It provides for compensation for lands and other fixed assets built and grown on them (structures, trees and orchards and crops) and for loss of income for those who could prove their income losses by documentary proof up to a maximum of average net profit for the three years immediately preceding the publication of Section 07 notice under LAA. The Act also guarantees that no person will be deprived of land except under the provisions of the LAA and entitles Affected Persons (APs) to a hearing before acquisition. The Act discourages unnecessary acquisition and specifies that the land should be used for the purpose for which it is acquired, and land that remain unused should be returned to the original owners. Usually, the land acquisition is time consuming and may take anywhere between a few months to about 2-3 years to complete the process.

The provisions of LAA together with the compensation listed in the Government Gazette No.1596/12 of 07th April 2009 largely meet the requirements of the OP 4.12 with regard to paying compensation. However, the LAA does not address all aspects of losses due to involuntary resettlement, especially of the squatters as per the OP 4.12. Further, the law is indifferent to the landowner's present socio-economic conditions or the long term adverse impacts on incomes and livelihood that the acquisition may cause on the affected people.

b) State Lands Act No 13 of 1949

This Act deals with the provision for the grant and disposition of state lands in Sri Lanka; for the management and control of such lands and the foreshore; for the regulation of the use of the water of lakes and public streams; and for other matters incidental to or connected with the matters aforesaid. Section 51 of the Act stipulates that title to state reservations cannot be acquired by possession or usage. Further, Section 53 exempts state from liability to pay compensation for

improvements effected on reservations while Section 54 provides for summary ejectment of offenders in unlawful possession of state reservations. Section 103 of the State Lands Act provides that no person can by possession or use of land acquire any prescriptive title against the crown if such land is (a) after the commencement of the ordinance declared to be the property of the crown under the Land Settlement Ordinance, or (b) after such date acquired by the crown under the LAA, or (c) after such date resumed by the crown under the Land Redemption Ordinance and has at any time prior to or after the declaration, acquisition or redemption been land marked with boundary marks by or under the authority of the Surveyor General.

c) State Lands (Recovery of possession) Act No 7 of 1979

The provisions for the recovery of possession of state lands from persons in unauthorized possession or occupation thereof are contained in the State Lands (Recovery of Possession) Act No 7 of 1979. Further Section 10 stipulates that no appeal is maintainable against an order of eviction by a Magistrate. Section 13 provides for reasonable compensation for the damage sustained by reason of his having been compelled to deliver up possession of such land.

d) Land Development Ordinance No 19 of 1935

This ordinance deals with the systematic development and alienation of crown land of Ceylon (Sri Lanka). Chapter VII of the Land Development Ordinance (LDO) sets out the procedure for cancellation of a state land given on a permit or grant for non-compliance of the conditions of permit. Section 106 gives notice to permit holders where there has been a breach of the condition of permit. If a person failed to appear before the inquiring officer, provision has been made under section 109 of the said ordinance to cancel the permit. Section 110 lays down the procedure where permit holder appears and shows cause for the failure to develop the land as per provision of the permit given to him. Section 112 prescribes the order of Government Agent to be served on the permit holder and to be posted on land. S.113 provides for an appeal to the Land Commissioner against the order of the Government Agent.

The procedure for ejectment (eviction) of a person in occupation of a state land given on a grant is spelt out in Chapter IX of the LDO. Section 168 of the LDO stipulates the offences in regard to state land. It says that if any person without the permission of the Government Agent clears or breaks up for cultivation any state land or erects any building or structure on any state land, fells any trees standing on such land or otherwise encroaches on such land is guilty of an offence and subject to fine and imprisonment. Thus, the rights of a mala fide possessor are not recognized for compensation for improvement under the laws of Sri Lanka.

e) Urban Development Authority Law No 41 of 1978

Law to provide for the establishment of an Urban Development Authority (UDA) to promote integrated planning and implementation of economic, social and physical development of certain areas as may be declared by the Minister to be urban development areas.

f) Temple and Dewalagam Act:

This Act deals with lands donated to the temples and Devalas (Places of religious significance) by

rulers under a deed of dedication, sometimes by “Sannasas” (Order) for the maintenance of such institutions.

g) Crown land encroachment ordinance

Crown Lands Encroachment Ordinance (Sec.09) created a presumption that all waste lands, forests, unoccupied and uncultivated lands belonged to the state (then crown) until the contrary was proved

4.1.2 National Involuntary Resettlement Policy (NIRP)

In Sri Lanka, the LAA only provides for compensation for land, structures and crops. It does not require project executing agencies to address other key resettlement issues such as exploring alternative project options that avoid or minimize impacts on people, compensating those who do not have title to but are currently using and dependent on land, or implementation of income restoration measures aimed at the social and economic rehabilitation of displaced persons. To ensure that displaced persons are treated in a fair and equitable manner, and to particularly ensure that people are not impoverished or suffer unduly because of public or private project implementation, Sri Lanka has adopted the ‘National Policy on Involuntary Resettlement (NIRP)’ to protect the rights of all people affected by development projects. NIRP was approved by the Cabinet of Ministers on 16 May 2001 and declared to be applicable to all development induced resettlement.

The NIRP has five main objectives in implementing to mitigate social impacts of involuntary resettlement under any programs/projects funded by the government or donor agencies: (i) exploring alternative project options which avoid or minimize impacts on people; (ii) compensating those who do not have title to land; (iii) consulting affected people and hosts on resettlement options; (v) providing for successful social and economic integration of the affected people and their hosts; and (v) full social and economic rehabilitation of the affected people. NIRP lists following policy principles which are applicable to all development projects.

- Involuntary resettlement should be avoided or reduced as much as possible by reviewing alternatives to the Project as well as alternatives within the Project.
- Where involuntary resettlement is unavoidable, affected people should be assisted to re-establish themselves and improve their quality of life
- Gender equality and equity should be ensured and adhered to throughout the policy application
- Displaced persons should be fully involved in the selection of relocation sites, livelihood compensation and development options as early as possible
- Replacement land should be an option for compensation in the case of loss of land; in the absence of replacement land cash compensation should be an option for all displaced persons.
- Compensation for loss of land, structures, other assets and income should be based on full replacement cost and should be paid promptly. This should include transaction costs.

- Resettlement should be planned and implemented with full participation of the provincial and local authorities.
- To assist those affected to be economically and socially integrated into the host communities, participatory measures should be designed and implemented.
- Common property resources and community and public services should be provided to project-affected people.
- Resettlement should be planned as a development activity for the benefit of the project affected people.
- Displaced persons who do not have documented title to land should receive fair and just compensation and assistance.
- Vulnerable groups should be identified and be given appropriate assistance to substantially improve their income and living standards.
- Project Executing Agencies should bear the full costs of compensation and resettlement.

NIRP requires that comprehensive resettlement frameworks be prepared where 20 families or more are affected irrespective of the source of funding. The GEM project will adhere to the above principles of the NIRP in case there is any involuntary resettlement that is unavoidable for the project related activities. In such situations, the NIRP principles together with the following Bank policies on social safeguard will be followed.

#### ***4.2 World Bank Operational Policies and Social Safeguard Requirements***

The World Bank policies and guidelines pertaining to the project is OP/BP 4.12 on Involuntary Resettlement. Involuntary resettlement covers situations where a project must compensate people for loss of land, other assets, livelihood, or standard of living. The WB operational policies seek to avoid where feasible or minimize involuntary resettlement, exploring all viable alternative project designs. In the case of GEM, this SIMF provides guidance for the preparation of appropriate safeguards management instruments to ensure that the displaced persons are informed about their options and rights pertaining to resettlement; consulted on and provided with technically and economically feasible resettlement alternatives and provided compensation at full replacement cost. Where impacts on the entire displaced population are minor, or fewer than 200 people are displaced, an Abbreviated Resettlement Action Plan (ARAP) will be prepared. However, impacts will be considered “minor” if the affected people are not physically displaced and no private land acquisitions are involved.

All interventions that are aimed at upgrading, new constructions or rehabilitation of GEM project-related facilities will be screened for applicability of the resettlement policy, including measures for documenting that community/government land required for new constructions is free of squatters/informal settlements and other encumbrances. In all applicable instances, the Operations and Monitoring Support Team (OMST) at the Ministry of Education will prepare safeguards instruments (Social Screening Reports, Abbreviated Resettlement Action Plans) prior to financing sub-projects. Accordingly, the SIMF includes procedures for identifying project-affected people, compensation assessment procedures and entitlements for different project affected populations (PAPs).

## 5. Social Impact Management Framework

The Social Impact Management Framework (SIMF) defines the guiding principles and processes for assessing social impacts, gender considerations and the citizens' engagement processes of the GEM project. It also aims at outlining the safeguards instruments to be prepared, mitigation principles, organizational arrangements and design criteria to be applied for the project. The SIMF is prepared in accordance with the relevant World Bank Safeguard Policies as well as national regulations and policies of Sri Lanka.

This SIMF will ensure that the infrastructures development, if any, considered under the project are systematically assessed through social screenings and the national and Bank safeguards policy requirements are followed to mitigate the adverse social impacts. Specifically, it focuses on:

- assessing the potential social impacts of interventions (extension of land, upgrade or construction of school facilities), whether positive or negative, and propose mitigation measures which will effectively address these impacts;
- establishing clear procedures and methodologies for the social screening of activities to be financed by the project;
- identifying the social risks, and institutional arrangements for implementations of safeguards management pertaining to the project.

### 5.1 *Anticipated Social Impacts*

The GEM Project will support the expansion and improvement of existing facilities in schools where required. Specifically, it will involve probable construction of new buildings for extending GEM facilities, extensions and renovations to existing buildings for co-curricular activities, laboratories and libraries, including provision of sanitation facilities where required. As such, no private land acquisition is generally expected under the project. Expansion or any new construction is expected to take place only on existing lands of GEM project-related facilities or in the Government owned lands. However, minor involuntary resettlement impacts may be unavoidable in specific interventions, which will only be known during project implementation, when site-specific plans are available. In the event where minor acquisition of land is unavoidable or project implementation may cause small scale loss of assets or the physical displacement, necessary social safeguards instruments will be prepared, as outlined below.

Support for expansion and improvements of school facilities will be in the existing land of the school in most cases; (ii) should there be a requirement for additional land, government owned land will be provided by DS, District Secretariats, Provincial Councils and Local Government Authorities; and (iii) only in cases where government land is not available, private land will be acquired either through voluntary land donation or private acquisition.

Owing to probable acquisition of private land, repossession of state lands, or voluntary donation may lead to the following impacts:

- Loss of land and livelihood

- Relocation or loss of shelter
- Loss of structures
- Loss of assets or access to assets
- Loss of income sources or means of livelihoods
- Construction related impacts

GEM will also take measures to include vulnerable groups such as people who by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, or social status may be more adversely affected by resettlement than others and who may be limited in their ability to claim or take advantage of resettlement assistance and related development benefits. Besides addressing these adverse impacts and risks, within the context of the project, measures will be taken to address concerns of equality, including the needs of disabled students who will require special assistance.

## ***5.2 Social Impact Assessment and Mitigation Framework***

Mitigation measures will be introduced in the instances of aforementioned events to ensure adequate levels of social due diligence is in place especially for compensation for loss of land and livelihood. This will be carried out through consultative and mutually agreeable process where applicable, i.e., the location will be screened for land status documentation and the presence of encroachers, competing claims or other encumbrances.

- For any new construction under an activity for the GEM project, where land does not belong to an existing school facility premises, the documentation for the land status (public/community land) is required, along with documentation that the land is free of encroachments, squatters or other encumbrances' and has been legally transferred to MOE/PC/LA.
- In the event of requirement for new land for any new activity, there are three options for the government.
  - First, the client will explore and identify the land space in existing government/community land without any encumbrances that could be allocated for new constructions.
  - Second, land could be obtained through voluntary donations where such small land pieces would not affect the donatees' income and livelihoods.
  - Third, land can be acquired through existing legal procedures (LAA) of the GOSL.

The Project will not support any development activities for the GEM project which are not registered under the MOE and located in unsuitable lands and/or in unhealthy social environments for children.

Implementation of social safeguards management procedures varies by the type of interventions and activities. In order to ensure adequate level of social due diligence is in place, the following instruments and mitigation measures have been identified as minimum requirements to be in place as part of the social safeguards requirements.

### 5.2.1 Procedure for use of school premises or state land for new construction, rehabilitation and improvements of existing facilities

To the extent possible, any new construction, renovation or refurbishment of school facilities will only take place on existing school premises or state-owned land. Hence, all new constructions and expansion activities of centers will be screened for land status documentation and the presence of encroachers, competing claims or other encumbrances. In addition, for any new construction under an activity where land does not belong to an existing school facility premises, the documentation for the land status (public/community land) is required, along with documentation that the land is free of encroachments, squatters or other encumbrances' and has been legally transferred to the school. If the social screening indicates the presence of squatters or encroachers in the land to be acquired for the project, an Abbreviated Resettlement Action Plan will be prepared.

However, should land be required for any new activity, there are three options for the government. First, the client will explore and identify the land space in existing government/community land without any encumbrances that could be allocated for new constructions. Secondly, land could be obtained through voluntary donations where such small land pieces would not affect the donatees' income and livelihoods. Thirdly, land can be acquired through existing legal procedures (LAA) of the GOSL.

### 5.2.2 Procedure for use of community/ individual lands for new constructions through land donation

Obtaining small land parcels for expansions of existing GEM project-related facilities or additional lands for new facilities from communities/ religious institutions /individuals through voluntary donations is allowed under the project. In case of voluntary land donation, the Project will ensure the following:

- The land to be obtained through voluntary donation is free of any structures or assets;
- The land size is to be small (less than 10% of total land owned by individual owner) an area that its donation does not negatively impact the livelihood of the owner;
- The voluntary nature of donation is fully and independently verified;
- The land is unencumbered, of squatters, tenants, sharecroppers or any other dependents and conflicting claims;

The community based mitigation measures are acceptable and a consent letter from the land owner granting permission for the use of the land by GEM managing agency or community; and any interested parties give up all claims to the donated land and that the land is officially transferred in the name of the MOE/PC or the Government agency responsible for managing the GEM facility.

A legal contract will be established which would include details of the land being donated; formal consent of the land owner/interested parties, and the witnesses. A suggested format for the contract is presented in Annex 4.

### 5.2.3 Procedure for private land acquisition

Even though private land may be required under the project, that is expected to be minimal, if any. However, involuntary resettlement is not envisaged under the project. In the exceptional circumstances when private land acquisition is required, the existing legal procedures (LAA) of the GOSL and World Bank's OP 4.12 on Involuntary Resettlement will be triggered. Specifically, the Social Screening Checklist will help establish the need for additional land-taking. If private land acquisition is deemed unavoidable, a social impact assessment will be carried out to guide the identification of possible social issues/impacts, including their magnitude and duration. Subsequently, an (Abbreviated) Resettlement Action Plan (ARAP) will be prepared comprising the approaches, methodologies and procedures, including resettlement principles and risk management instruments to mitigate the potential social impacts. The ARAP will also include the eligibility criteria and entitlements and methods for valuating affected assets and losses; the institutional and implementation arrangements, the monitoring mechanisms; grievance redress mechanism; consultation and stakeholder engagement; and the budget and timeline for the implementation of the ARAP. The ARAP will be cleared by the Bank and disclosed locally in the country as well as in the Bank's Infoshop.

### 5.2.4 Addressing Construction-Related Risks and Impacts

Construction related activities under the project is likely to have several impacts such as safety risks, restriction on access, traffic congestion, air pollution, noise pollution, influx of labors/outside, especially when the required labor force and associated goods and services cannot be fully supplied locally for several reasons (e.g., worker unavailability and lack of technical skills and capacity). In the context of construction of school buildings or refurbishments and rehabilitation of existing ones, large-scale labour influx is not expected, but this will be ascertained using the Screening Checklist and Social Screening Report of the GEM project. If there is possibility for large influx, potential social impacts such as: risks of social conflict, increased risk of illicit behavior and crime, burden on local resources, etc., will have to be managed. Accordingly, a separate labor management plan will be prepared, and implemented by the respective contractor during project implementation. To address these issues, the contractor will be required to prepare an Environmental Management Plan that will include activities for mitigating these construction-related risks and impacts (See, Annex 10 of the Environmental and Social Management Framework).

## ***5.3 Steps for Social Impact Management Planning***

Implementation of overall social safeguards requirements will follow the following steps closely linked with activity planning, design and implementation steps.

Step 1: Preliminary Social Screening Checklists (Annex 1.)

Step 2: Preparing Social Screening Report (Annex 2)

Step 3: (Abbreviated) Resettlement Action Plans (if there are land acquisitions and physical displacement of persons less than 200, in Annex 3)

Step 4: Compliance and Monitoring

Based on type of construction required, Table 1 shows the appropriate processes to be followed. All preliminary Social Screening Reports (SSR), A-RAPs or Due Diligence Report must be completed prior to awarding of contracts for construction.

**Table 1. Type of Social Assessment Required Based on Type of Construction**

Construction Type	Compliance Requirements and instrument	Responsibility
Construction of new building in existing school premises	Social Screening Checklist/Report	MOE, Administrators/regulators at the district/divisional/provincial level required to obtain permits and approvals
Construction of new school building on new location	Social Screening Checklist/ Reports and/or A-RAP	MOE, Administrators/regulators at the district/divisional/provincial level required to obtain permits and approvals
Renovations to existing buildings	Social Screening Checklist and Reports	MOE, Administrators/regulators at the district/divisional/provincial level required to obtain permits and approvals
Construction of new training/play areas	Social Screening Checklist and Reports	MOE, Administrators/regulators at the district/divisional/provincial level required to obtain permits and approvals
Digging of Wells for Water Supply for new buildings	Social Screening Checklist and Reports	MOE, Administrators/regulators at the district/divisional/provincial level required to obtain permits and approvals
Construction of new sanitation facilities on new lands	Social Screening Checklist / Reports and/or A-RAP	MOE, Administrators/regulators at the district/divisional/provincial level required to obtain permits and approvals

## 6. Institutional Arrangements for Safeguards Management

The Director/School Works and Engineers of the MoE and the Provincial Councils will be responsible for the preparation of checklists, SSRs, and ARAPs. For school sites financed at the Provincial Level, the MLGPC will retain copies of checklists, and ARAPs. The MoE and MLGPC will be required to maintain records of environmental and social compliance for school construction work. The MOE and MLGPC will conduct a minimum of two visits to monitor compliance with environmental safeguards per year. During the World Bank Implementation support missions, compliance will be monitored as well. Details of the implementation arrangements are provided in the Environment and Social Management Framework prepared under the project.

## 7. Consultation, Disclosure, and Grievance Redress Mechanism

The SIMF has been prepared together with the overall project design in consultation with the relevant authorities, including officials from government, administrators of relevant institutions, as well as representatives of local civil society organizations. During implementation, consultations with stakeholders including GEM-related school management committees, Provincial Councils, DSs Divisional Secretariats, and relevant Local Authorities are planned to take place periodically during planning, design and implementation of the project. The social staff with the environmental officer will conduct and record consultations with the local stakeholders and project affected persons during preliminary socioeconomic baseline-data-gathering at the sites. During construction, the site supervision team will meet social audit committees consist of community representatives and consult with the affected people/community as well as local stakeholders for their observations and feedback.

The project will adopt a grievance redressal mechanism (GRM) that will be transparent, objective and unbiased and will take both grievances environmental and social into consideration. The GRM will operate at two levels. The procedure at the first level will seek to resolve an issue quickly, amicably, and transparently out of courts in order to facilitate activities to move forward. The School Development Committees (SDCs) will act as the first tier of responding to grievances that may arise due to school level development activities. The SDCs have representatives from the schools, and from the local communities. The local community representatives will be impartial third parties in the grievance procedure. The next tier of the GRM will be more official, and involve the relevant legal agencies. Environment related grievances could be made to the Central Environment Authority, which has officials at district level. Complaints related to social issues could be brought to the notice of the legal authorities. Grievances will all be entered in a dedicated database, regularly updated with date of receipt of grievance, type of grievance, date of resolution, and information of rejection or acceptance of grievance. The GRM will be regularly be monitored, as it provides important feedback on the functioning of the project. The GRM will be available for review by the MOE and IDA implementation review missions and other interested persons and entities.

Grievance Redress Services: At the national level, all stakeholders including local government officers, parents, teachers, past pupils and partner agencies of GEM-related facilities will have the opportunity to make complaints, if any, related to the projects through a Grievance Redress Service of the Bank. This system allows communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit

<http://www.worldbank.org/GRS>. For information on how to submit complaints to the World Bank Inspection Panel, please visit [www.inspectionpanel.org](http://www.inspectionpanel.org).

The SIMF will be disclosed to public through print media and will be made available for public review at the MOE and the Provincial Councils and DSs, Divisional Secretariats. It will be translated into Sinhala and Tamil and will be made available for public and local level participating institutions prior to commencement of activities on the ground. Relevant subproject specific safeguard documents/mitigation plans prepared subsequently will also be disclosed to the public and made available at the participating institutions and sites where construction work is taking place.

## Annexes

### Annex 1: Social Screening Checklist

Probable Involuntary Resettlement Impacts	Yes	No	Not known	Details
1. Will the intervention include new construction work?				
2. Does the intervention include upgradation or rehabilitation of existing physical facilities?				
3. Is there clarity of land ownership in areas where project interventions will be carried out?				
4. Is the intervention likely to cause any permanent damage to or loss of housing or other assets/ resources?				
5. Is the site chosen for the work free from encumbrances and is in the possession of the government/community?				
6. Does the sub project intervention require private land acquisitions?				
7. If the site is privately owned, can the land be purchased through negotiated settlement?				
8. If the land parcel has to be acquired, is the actual plot size and ownership status known?				
9. Are these land owners willing to voluntarily donate the required land for the sub-project?				
10. Are the affected land owners likely to lose more than 10% of their land/structure area owing to a donation?				
11. Is land available for material mobilization or transport for the civil work within the existing plot/ Right of Way?				
12. Are there non-title holders living/doing business on the proposed site/project locations?				
13. Is any temporary impact likely?				

14. Is there any possibility to move out, close of business/commercial/livelihood activities of persons during constructions?				
15. Is there any physical displacement of persons due to constructions?				
16. Does this project involve resettlement of any persons? If yes, give details.				
17. Will there be loss of /damage to agricultural lands, standing crops, trees?				
18. Will there be loss of income and livelihood?				
19. Will people permanently or temporarily lose access to facilities, services, or natural resources?				
20. Has there been any previous land acquisition where the identified land has been already acquired?				
21. Are indigenous people living in proposed locations or affected/benefitted by the project intervention?				

## Annex 2: Social Screening Report Format

### **A. Description of the Activity/Intervention:**

1. Give a brief introduction about the activity/interventions including the names of implementation agencies, their objectives and benefits.
2. Details about existing conditions of the facilities and proposed civil works with scope
3. Available design maps earmarking site and proposed activities in order to explain work.
4. Does this entail only the modification of existing facilities or will it involve any new construction work?.
5. Is the intended sub-project closely linked to any other activity not funded under GEM?
6. Would its sub-projects involve any ancillary impact/ activity away from the work site?
7. Time line for completion

### **B. Justification of Intervention and Alternative Analysis:**

1. Importance of the proposed activities and why it is taken up:
2. Scenario if the work is not taken up.
3. Scenario if the work is taken up with greater scope of work.
4. What kind of natural disasters is this corridor vulnerable to?: (good if this can be answered).
5. How is the proposed work disaster resilient? (good to answer)

### **C. Corridor of Impact:**

1. Where will the activity be taken up, where does it (drain/road, canal) pass through: markets, residential areas, green fields etc.
2. Brief socio-economic profile of the work site and impact area, beneficiary/affected communities: businesses, livelihoods;
3. Who all will benefit, and welcome the work? Who may oppose the proposed work?

### **D. Social Impact Assessment (based on screening checklist findings) Screening**

Describe both positive and negative impacts .....

.....

**E. Estimation of Specific Impacts**

Components of the Sub Project	Private land required In Sq. m.	No of Land owners losing more than 10% of land area	Government land required in Sq. m.	Forest land required in Sq. m.	No of houses affected	No of shops affected	No of other structures affected	No of squatters affected	Public utilities affected

**F. Information on Affected persons**

- Any estimate of the number of households that would likely be affected by the sub project?  
 No.  Yes.  
 If yes, approximately how many? .....
- No. of HHs losing 10% of their productive assets (land/cowshed/shops).....
- No. of HHs losing 10% or more of their productive assets?.....
- Is any household of the ‘vulnerable groups’ affected?  
 No.  Yes.  
 If yes, please briefly describe their situation with estimated numbers of HHs?
- What are the needs and priorities for social and economic betterment of vulnerable people who are affected by this project?

**H. Decision on categorization**

After reviewing the answers above, it is determined that the sub project is:

Categorized as an A project, a full resettlement plan is required

Categorized as a B project, an abbreviated resettlement plan is required

Categorized as an C project, no RP is required, Only Due Diligence Report is required  
Approval and Submission

.....

.....

Prepared by:

Approved by:

Safeguards Consultant/Officer

Project Coordinator/ Director

Date:

Date:

### Annex 3: Outline of (Abbreviated) Resettlement Action Plan

**(a) Project Description:**

Identify Project location and its features and implementing agencies.

**(b) Census Survey of Displaced Persons and Valuation of Assets:**

Potential displacement due to proposed sub-project, assets lost and people displaced from homes or livelihood, and methodology to be used in valuing losses to determine their replacement cost.

**(c) Legal and Regulatory Framework:**

Describe key national and donor policies related to land acquisition, payment of compensation and entitlements. Explain how NIRP and WB safeguard policies will be complied with.

**(d) Eligibility, Description of Compensation and Other Resettlement Assistance to be provided:**

Describe the packages of compensation and other resettlement measures and other assistances that will assist each category of eligible displaced persons to achieve sub project the objectives.

**(e) Consultations:**

Discuss the consultation and participation process in the light of NIRP and WB safeguard requirements.

**(f) Institutional Responsibility for Implementation and Procedures for Grievance Redress:**

Identify main tasks and responsibilities in planning, negotiating, consulting, approving, coordinating, implementing, grievance redress, financing, monitoring and evaluation of the resettlement and rehabilitation.

**(g) Arrangements for Monitoring and Implementation; and Specify the arrangements for M&E:**

**(h) Timetable and Budget:**

Prepare an Implementation Schedule including all resettlement activities from preparation to implementation.

Annex 4: Suggested Legal Contract for Voluntary Land Donations

The following agreement has been made on.....day of .....between Mr./Ms .....aged ..... Resident of ..... GN.....District.....the grandson/daughter of ..... and son/daughter of .....

1. That the land with certificate no.....is a part of .....is surrounded from eastern side by .....western side by ..... on northern side, by ..... and southern side by .....
2. That the owner holds the transferable right of ..... (unit of land) of land/structure/asset .....
3. That the owner testifies that the land/structure is free of squatters of encroachers and not subject to any other claims.
4. That the owner hereby grants to the.....this asset for the construction and development of .....in.....GN/Location, ..... supported by Project for the benefit of the community.
5. That the owner will not claim any compensation against the grant of this asset nor obstruct the construction process on the land in case of which he/she would be subject to sanctions according to law and regulations.
6. That the GN/DS/ Local Authority agrees to accept this grant of asset for the purposes mentioned.
7. That the Local Authority/.....shall construct and develop GEM facilities under the project and take all possible precautions to avoid damage to adjacent land/structure/other assets.
8. That the provisions of this agreement will come into force from the date of signing of this deed.

-----  
Signature of the Owner

-----  
Signature of Grama Niladhari

Signature of the Divisional Secretary/ Chairperson, Local Authority

Witness:1 -----

2.-----