

**LAO PEOPLE'S DEMOCRATIC REPUBLIC
MINISTRY OF AGRICULTURE AND FORESTRY**

AGRICULTURE COMPETITIVENESS PROJECT

ETHNIC GROUPS ENGAGEMENT FRAMEWORK

Prepared by

DEPARTMENT OF PLANNING, INVESTMENT AND FINANCE

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TABLE OF CONTENTS

TABLE OF CONTENTS	I
LIST OF TABLES.....	iii
LIST OF FIGURES.....	iii
LIST OF ACRONYMS.....	IV
ACKNOWLEDGEMENTS.....	V
1.0 INTRODUCTION	1
1.1 PROJECT DESCRIPTION	1
1.2 APPLICABLE WORLD BANK SAFEGUARD POLICIES	3
2.0 LEGAL AND REGULATORY FRAMEWORK CONCERNING ETHNIC GROUPS	4
2.1 LEGAL FRAMEWORK CONCERNING ETHNIC GROUPS	4
3.0 ETHNIC GROUPS IN THE PROJECT AREAS	8
4.0 POTENTIAL PROJECT IMPACTS ON ETHNIC GROUPS	9
4.1 POTENTIAL IMPACT	9
4.2 MITIGATION MEASURES	10
4.3 MEASURES TO ENHANCE GENDER EQUITABLE ACCESS.....	11
4.4 BROAD COMMUNITY SUPPORT	11
4.5 IMPLEMENTATION ARRANGEMENTS FOR THE EGEF	12
4.6 SCREENING FOR THE PRESENCE OF ETHNIC GROUPS	12
4.7 SOCIAL IMPACT ASSESSMENT	13
4.8 FREE, PRIOR AND INFORMED CONSULTATION PROCESS.....	13
4.9 PREPARATION OF AN ETHNIC GROUP DEVELOPMENT PLAN.....	15
4.10 REVIEW AND APPROVAL OF AN ETHNIC GROUP DEVELOPMENT PLAN (EGDP).....	16
5.0 IMPLEMENTATION ARRANGEMENTS	16
6.0 MONITORING AND EVALUATION ARRANGEMENTS	18
7.0 GRIEVANCE REDRESS MECHANISM	19
8.0 DISCLOSURE ARRANGEMENTS FOR ETHNIC GROUPS TO BE PREPARED UNDER THE EGEF	22
9.0 BUDGET.....	22
ANNEX 1 – SUMMARY OF COMMUNITY CONSULTATION OUTCOMES.....	23
ANNEX 2 - ELEMENTS FOR AN EGDP	27
ANNEX 3 - IMPACT MATRIX & MEASURES TO ADDRESS POTENTIAL IMPACT AND ENHANCE DEVELOPMENT EFFECTIVENESS	29

ANNEX 4 – RECOMMENDATIONS ON ENHANCING DEVELOPMENT EFFECTIVENESS	32
ANNEX 5 - SAMPLE MINUTES OF CONSULTATION & LISTS OF PARTICIPANTS	37
ANNEX 6: RESULTS OF THE PUBLIC CONSULTATION ON DECEMBER 6, 2017	47

LIST OF TABLES

Table 1	International treaties and conventions in Lao PDR.....	7
Table 2	Ethnic group composition in 5 target provinces, Khammouane, Borlikhamxay, Vientiane Capital, Vientiane and Xayabouly, 2017.....	8
Table 3	Key responsibilities for EGEF implementation.....	17
Table 4	Indicative budget for implementation of the EGEF and related sub-project initiatives.	22

LIST OF FIGURES

Figure 1	GRI process.....	21
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LIST OF ACRONYMS

ARAP	Abbreviated Resettlement Action Plan
CBO	Community Based Organizations
CRPF	Compensation and Resettlement Policy Framework
CSOs	Civil Society Organizations
DOPF	Department of Planning and Finance
ECOP	Environment Code of Practice
EGEF	Ethnic Groups Engagement Framework
EGDP	Ethnic Groups Development Plan
LFND	Lao Front for National Development
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
GoL	Government of Lao PDR
GRM/GRIs	Grievance Redress Mechanism/Grievance Redress Institutions
IDA	International Development Association
MOF	Ministry of Finance
MoICT	Ministry of Information, Culture and Tourism
MPI	Ministry of Planning and Investment
NSEDP	National Socioeconomic Development Plan
OP/BP	World Bank Operational Policies
PAH	Project Affected Households
PAP	Project Affected People
PDO	Project Development Objective
PAFO	Provincial Agriculture and Forestry Office
PDR	People's Democratic Public
SA/SIA	Social Assessment/ Social Impact Assessment
SMMP	Social Management and Monitoring Plan
WB	World Bank
WBG	World Bank Group

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1.0 INTRODUCTION

This document is the Ethnic Group Engagement Framework (EGEF) for the proposed Lao Agriculture Commercialization Project (ACP) prepared in conjunction with the Lao PDR Ministry of Agriculture and Forestry (MAF) through the Department of Planning and Finance (DOPF), for possible financing by the World Bank (WB). The EGEF provides guidance on the process of engaging potential project affected people (PAP) comprised of, among others, ethnic groups, and the process of free, prior and informed consultation, in development and implementation of sub-projects to be financed under the ACP Project.

1.1 PROJECT DESCRIPTION

The proposed Agriculture Commercialization Project (ACP) seeks to enhance the competitiveness and sustainability of Lao PDR's agriculture sector through technical and financial support to increase in agricultural productivity and commercialization in selected strategic value chains. The project would focus on: (i) the geographical areas with high agricultural development potentials; (ii) the farming systems with high potentials for commercialization (i.e. paddy, maize, vegetables); (iii) promotion of good agricultural practices and climate smart agricultural technologies and farming system diversification to enhance food and nutritional security; (iv) building capacity for farmers' organizations, agribusinesses, public and private service providers; and (v) building on and developing synergies with other government/donor programs. The Project Development Objective (PDO) is to increase competitiveness of selected value chains in the project areas. The ACP is comprised of the following three components: (1) Improved Agricultural Efficiency and Sustainability; (2) Enhanced Agricultural Commercialization; and (3) Project Management.

Activities under each project component is described below:

Component A: Improved Agricultural Efficiency and Sustainability

This component will support (a) the increased adoption of improved varieties and high-quality seeds, (b) the increased application of GAP, (c) the provision of critical productive infrastructure, and (d) the strengthening of public services delivery.

Subcomponent A1: Promoting Adoption of Good Varieties and Quality Seeds. This subcomponent will support activities to promote the adoption of good varieties and quality seeds, including the provision of: (a) technical assistance for the establishment of seed multiplication groups (SMGs) and building their capacity to adopt good varieties and quality seeds; (b) Matching Grants to selected SMGs to carry out Sub-projects (i.e., small works, goods, equipment, etc.) for improving the production and postharvest handling, packaging and storage of quality seeds; (c) technical and material assistance (i.e., small works, goods, equipment, training, etc.) to build the capacity of Provincial Agricultural and Forestry Offices (PAFOs), District Agricultural and Forestry Offices (DAFOs), MAF technical departments and research institutions to conduct training for SMGs and to carry out seed quality monitoring and certification; and (d) technical assistance to link SMGs with Farmer Production Groups (FPGs) and agribusinesses in marketing certified seeds.

Subcomponent A2: Promoting Good Agricultural Practices. This subcomponent will support activities to promote good agricultural practices (GAP), including the provision of: (a) technical assistance for the establishment of FPGs and building their capacity to adopt GAP; (b) Matching Grants to selected FPGs to carry out Sub-projects that implement GAP; (c) technical and material assistance (i.e., small works, goods, equipment, training, etc.) to build the capacity of PAFOs, DAFOs, and relevant MAF technical departments to conduct training for FPGs on GAP and to carry out related extension and certification activities including soil analysis, organic fertilizer production, and organic farming; and (d) technical assistance to link FPGs with agribusinesses in marketing farm produce.

Subcomponent A3: Providing Critical Productive Infrastructure. This subcomponent will support activities to improve critical irrigation infrastructure and water use practices, including:

(a) rehabilitation of selected irrigation schemes; and (b) provision of technical assistance to establish water user groups and to build their capacity to adopt improved water use models.

Subcomponent A4: Strengthening Public Services Delivery. This subcomponent supports activities to strengthen agricultural and nutrition service delivery, including the provision of technical and material assistance (i.e., small works, goods, equipment, training, etc.) to: (a) improve the overall extension service capacity of the PAFOs and DAFOs; (b) develop and implement mapping and demarcation pilots for agricultural land in irrigated areas; and (c) conduct studies on integrated farming systems and diversification for nutrition, and carry out social behavioral change communication (SBCC) activities related to dietary diversity, adequate care practices, and processing and cooking for improved nutrition.

Component B: Enhanced Agricultural Commercialization

This component will support (a) establishing of an Agricultural Value Chain Facility (AVCF), (b) measures to better link farmers to markets, and (c) studies to improve the enabling environment for agro-enterprise and value chain development.

Subcomponent B1: Establishing an Agricultural Value Chain Facility. This subcomponent will support the establishment and operation of an AVCF for the purpose of extending technical and financial services to agribusinesses, including the provision of: (a) technical assistance to establish and operate the facility and provide advisory and Subproject implementation support to agribusinesses; and (b) Matching Grants to selected agribusinesses to carry out Subprojects for upgrading their processing and postharvest handling facilities and their management capacities to improve product quality, increase operational efficiency, reduce physical losses, and link with FGPs to improve marketing of the farm produce.

Subcomponent B2: Linking Farmers to Markets. This subcomponent will support activities designed to link farmers to markets, including the provision of technical assistance to: (a) strengthen the horizontal links of farmers within FPGs for implementing procurement, marketing and other collective actions, and the vertical links of FPGs and agribusinesses in productive partnerships to undertake further processing and marketing of the produce; and (b) development of an improved agriculture market information system to provide reliable market information for productive partnerships.

Subcomponent B3: Improving the Enabling Environment. This subcomponent will support activities to improve the enabling legal, policy and institutional environment for supporting agribusiness investment and agricultural trade policies, including the development of improved sanitary and phytosanitary standards, rice standards and rice export policies, and improved import and export legislation focusing on agriculture inputs and farm machinery.

Component C: Project Management

The component will support (a) project management and (b) monitoring and evaluation (M&E).

Subcomponent C1: Project Management. This subcomponent will support the day-to-day implementation, coordination, and management of project activities including planning and execution, financial management (FM), procurement, internal and external audits, and environmental and social safeguards management.

Subcomponent C2: Monitoring and Evaluation. This subcomponent will support the day-to-day monitoring, reporting, and evaluation of project activities.

SAFEGUARD POLICY TRIGGERED:

The project's overall impacts are expected to be positive. Some negative impacts are envisaged to be limited, localized, manageable and reversible. It is anticipated that the following World Bank safeguard policies will be triggered: Environmental Assessment (OP/BP 4.01), Pest Management (OP 4.09), Indigenous Peoples (OP/BP 4.10), Involuntary Resettlement (OP/BP 4.12), Safety of Dams (OP/BP 4.37), International Water Ways (for irrigation rehabilitation), Natural Habitats (OP/BP 4.04) and Physical Culture Resources (OP/BP 4.11) are triggered, hence the Project is classed as Category B. Mapping,

demarcation, and registration of irrigation land/systems are not expected to cause changes in land use types and land ownership as they will be carried out on a block basis (not for individual plots). Forced child labor and labor influx are not anticipated from the project. The project would comply with the three gender tags proposed by the World Bank Standards. This is to ensure that the project will address gender in terms of (i) analysis; (ii) action plan; and (iii) monitoring and evaluation plan. During project preparation, the project will develop specific/tailored measures to enhance equal access and opportunities for women to benefit from the matching grants and other project activities.

1.2 APPLICABLE WORLD BANK SAFEGUARD POLICIES

The project's overall impacts are expected to be positive. Some negative impacts are envisaged to be limited, localized, manageable and reversible. It is anticipated that the following World Bank safeguard policies will be triggered: Environmental Assessment (OP/BP 4.01), Pest Management (OP 4.09), Indigenous Peoples (OP/BP 4.10), Involuntary Resettlement (OP/BP 4.12), Safety of Dams (OP/BP 4.37), International Water Ways (for irrigation rehabilitation), Natural Habitats (OP/BP 4.04) and Physical Culture Resources (OP/BP 4.11) are triggered. Hence the Project is classed as Category B. Mapping, demarcation, and registration of irrigation land/systems are not expected to cause changes in land use types and land ownership as they will be carried out a block basis (not for individual plots). Forced child labor and labor influx are not anticipated from the project. The project would comply with the three gender tags proposed by the World Bank Standards. This is to ensure that the project will address gender in terms of (i) analysis; (ii) action; and (iii) monitoring and evaluation framework. During project preparation, the project will develop specific/tailored measures to enhance equal access and opportunities for women to benefit from the matching grants and other project activities.

As the proposed sub-projects may include initiatives implemented in areas where ethnic groups are present, and because national level project activities (e.g., policy reforms, institutional strengthening and capacity building) may have implications for ethnic groups, the WBG OP/BP 4.10 *Indigenous Peoples'* safeguard policy is triggered and applies to the project. The GoL does not recognize indigenous status and instead uses the term ethnic group to classify the non-Lao-Tai ethno-linguistic group. Only one nationality, "Lao", is recognized.

The World Bank's Operational Policy 4.10 (Indigenous Peoples) requires that special planning measures be established to protect the interests of ethnic groups with a social and cultural identity distinct from the dominant society that may make them vulnerable to being disadvantaged in the development process. The Policy defines that ethnic groups can be identified in particular geographical areas by the presence in varying degrees of the following characteristics:

- A close attachment to ancestral territories and to the natural resources in these areas;
- Self-identification and identification by others as members of a distinct cultural group;
- An indigenous language, often different from the national language; and
- Presence of customary social and political institutions.

As a prerequisite for a project approval, OP 4.10 requires the borrower to conduct free, prior and informed consultations with potentially affected ethnic groups and to establish broad-based community support for project objectives and activities. It is important to note that the OP 4.10 refers to social groups and communities, and not to individuals. The primary objectives of OP 4.10 are to ensure:

- Such groups are afforded meaningful opportunities to participate in planning that affects them;
- Opportunities to provide such groups with culturally appropriate benefits are considered; and

- Any project impacts that adversely affect them are avoided or otherwise minimized and mitigated.

The EGEF provides a guideline document (OP/BP 4.10) to decision-makers early in the project preparation process to ensure that due consideration is given to adequate consultation and engagement of ethnic groups, including ethnic minority groups. As such, the level of social assessment conducted will depend on the nature and scale of the proposed sub-projects and its potential impact on ethnic groups. The EGEF provides guidance on how to engage potential PAP of ethnic groups in a free, prior and informed consultation process and for the development and implementation of sub-project EGEPs to be financed under the ACP Project.

2.0 LEGAL AND REGULATORY FRAMEWORK CONCERNING ETHNIC GROUPS

2.1 LEGAL FRAMEWORK CONCERNING ETHNIC GROUPS

2.1.1 Constitution of the Lao PDR (2015)

Lao PDR does not have specific legislation for its ethnic groups. However, the former 1991 Constitution and current adjusted Constitution of 2015 (chapter four, articles 34-51) guarantee that all Lao people have fundamental rights and obligations to develop the country. The Constitution defines Lao PDR as a multi-ethnic State, with equality among all ethnic groups.

Article 8 states that:

The State pursues the policy of promoting unity and equality among all ethnic groups. All ethnic groups have the right to protect, preserve and promote the customs and cultures of their own tribes and of the nation. All acts of creating division and discrimination among ethnic groups are forbidden. The State implements every measure to gradually develop and upgrade the economic and social level of all ethnic groups.

Article 13 states that the country's economic system is for the purpose of improving the living standards, both materially and spiritually, of Lao PDR's multi-ethnic people.

Article 19 emphasizes the importance of building schools to provide education for all, especially in areas inhabited by ethnic minority groups.

Article 35 guarantees that Lao citizens are all equal before the law irrespective of their gender, social status, education, beliefs and ethnic group.

2.1.2 Ethnic Minority Policy (1992)

The Resolution of the Political Bureau Concerning the Affairs of Various Minorities, especially the Hmong Minority (Hmong Policy 1981) adapted in 1981 was the first explicit statement of policy on ethnic groups since the founding of the Lao People's Democratic Republic in 1975. The policy also attempted to improve the living conditions of Hmong people, and to increase national security for the country as a whole. In 1992, the policy was adjusted and developed into a resolution of the Administrative Committee of the party to become The Ethnic Minority Policy under the Resolution on Ethnic Affairs in the New Era, which applies to all ethnic groups throughout the country. There are no specific articles in it, rather it is an agreement on the principles that all ethnic groups should have improved access to services and that all discrimination must be eradicated.

The general policy of the GoL concerning ethnic groups was designed to:

- Build national sentiment (national identity);
- Realize equality between ethnic groups;
- Increase the level of solidarity among ethnic groups as members of the greater Lao family;

- Resolve problems of inflexible and vengeful thinking, and economic and cultural inequality;
- Improve the living conditions of the ethnic groups step-by-step; and
- Expand, to the greatest extent possible, the good and beautiful heritage and ethnic identity of each group and their capacity to participate in the affairs of the nation.

The policy calls for protection against and eradication of dangerous diseases and to allow ethnic groups to enjoy good health and a long life. The GoL is expected to provide appropriate investments to enlarge the health care network by integrating modern and traditional medicine.

The collection of data on the ethnicity of government employees, retired ethnic officials, the handicapped, and families of those killed in action is another activity called for in the policy.

Disseminating information in the remote areas is mandated, through many methods, especially, radio broadcasting in minority languages. The plan calls for engagement of specialist officials who speak minority languages and who possess knowledge of science, production, and socioeconomic problems. The question of where these persons are found is not addressed.

The Ethnic Minorities Committee under the National Assembly is charged with the responsibility to draft and evaluate proposed legislation concerning ethnic groups, lobby for its implementation and implementation of socioeconomic development plans. Ethnic groups' research is the responsibility of the Institute for Cultural Research under the Ministry of Information, Culture and Tourism (MoICT). The lead institution for ethnic affairs is the mass (political) organization, the Lao National Front for Construction, which has an Ethnic Affairs Department.

2.1.3 The 8th National Socioeconomic Development Plan (2016-2020)

The overall objective of the 8th National Socioeconomic Development Plan (NSED), 2016-2020 is to ensure that Lao PDR graduates from Least Development Country status. It is designed with three outcomes, and each with a set of Performance Targets.

As part of the rural development and poverty reduction strategy, one focus of the 8th NSED is to consolidate and convert villages in remote areas inhabited by ethnic groups into small towns, and link these areas with roads and improved infrastructure. It states that tailored interventions are needed for the poorest groups, where the lack of access to infrastructure, markets and services remain barriers to growth and poverty reduction. Social welfare policy and poverty reduction must be tailored to ethnic people's specific needs and capabilities, and to address gender issues among various ethnic groups in order to improve the human capital of future generations.

The 8th NSED emphasizes the importance of continuing to improve and develop the information and culture sector by actively enhancing heritage and cultural values on the basis of the cultural diversity of the different ethnicities, and to share these traditions with the international forum. This five-year plan also promotes equality among multi-ethnic people, by promoting a sense of pride of the historical characteristics of various ethnic groups, and to rely on elders and leaders at the grassroots level of various ethnic groups to promote unity among ethnic group members as a means to ensure development.

2.1.4 Guideline on Ethnic Group Consultation (2012)

A new national guideline on consultation with ethnic groups launched by the Lao Front for National Construction (LFNC) in 2012, was largely in line with the World Bank policy on Indigenous People (OP/BP 4.10). It aims to ensure that all ethnic groups who benefit from or are adversely affected by a development project, without regard to the source of funding, are fully engaged in a meaningful consultation process at all stages from preparation into implementation. The guideline also aims to ensure that the potentially affected ethnic groups are fully informed of project objectives, as well as their potential positive and adverse impacts on their livelihood and their environment, and provided with opportunities to articulate their

concerns. The guidelines provide principles and processes to carry out meaningful consultations with, and obtain free, prior and informed consultation of, all ethnic groups affected by developments projects in a culturally sensitive manner. The guidelines consist of a) objectives and scope of the guidelines, b) consultation processes with ethnic groups at respective stages of development projects, c) consultation approaches and methods for different ethnic groups in a cultural sensitive manner, d) expected outcomes of consultation at each stage, and e) implementation arrangement and responsibility.

2.1.5 Land Law (2013)

The formal law governing land rights in Lao PDR includes the 2003 Constitution, the 1990 Law on Property, the 2004 Law on Protection and Development of Women and the 2005 Law on Heritage and Basis of Inheritance, and the revised 2013 Land Law.

The Constitution guarantees that the State will protect property and inheritance rights of individuals and organizations. It also declares all land to be a “national heritage” and that the State will ensure use, transfer and inheritance rights to land as defined by law. The 1990 Law on Property establishes and defines five forms of property, including: State property; collective property; individual property; private property (property belonging to a private economic unit other than an individual or collective); and personal property (items for personal use). It also establishes that ownership of all land, underground resources, water, forests and wild animals is vested in the State, though the State may grant rights of possession, use, transfer and inheritance to other entities (GoL Constitution 2003; GoL Property Law 1990).

All land in Lao PDR belongs to the population as a whole, and the State must safeguard long-term rights to land by ensuring protection, use, usufruct, transfer and inheritance rights. The Land Law lays out categories of land (agricultural, forest, water area, industrial, communication, cultural, national defense and security and construction) and defines the scope of use rights for each. It also establishes the basic organization of land-use management authorities and framework for land registration. The Land Law provides the basis for registering land rights and defines land certificates and land titles. Individuals and organizations access land through land-use rights. Recent land titling programs have formalized permanent land-use rights in urban and peri-urban areas, and land allocation programs have formalized temporary land-use rights for agricultural and forest land. Communal tenure, which is common in rural areas, has not been formalized.

The Land Law provides that land titles shall constitute evidence of permanent land use rights, and establishes a system of temporary land use certificates for agricultural and forest land, allowing rights to such land to be passed by inheritance, but not transferred, leased or used as collateral. The Land Law also does the following: allows Lao citizens to lease land from the State for up to 30 years; allows the State to lease out land or grant land concessions to non-citizens; prohibits land speculation; and guarantees compensation for State takings of land use rights. The Land Law provides for settlement of land disputes before the local land-management authority or before the People’s Court.

Many ethnic groups practice a system of land use and resource management which is uniquely adapted for upland areas. This has developed over generations (i.e. is traditional), and is underpinned through ritual and customary practices (Mann and Luangkhut 2008). These customary systems of land management and allocation exist alongside the formal system, with initiatives in recent years to integrate some traditional practices into the formal law. In many rural areas of Lao PDR, communities control common property, such as forests or pastureland, and have devised local customary rules for the management of land resources and allocation of land to group members. The 1990 Property Law recognizes cooperative or communal property rights generally. The Prime Minister’s 2006 Decree 88 on Land Titling and the 7th NSEDP included provisions to issue communal land titles for land allocated by the government to village communities (United States Agency for International Development [USAID] 2013). Many ethnic communities have traditionally recognized certain areas of forest as sacred forest sites, or spirit forests, and this is an important cultural aspect which should be respected.

Under customary or informal rules in rural areas, local communities often control common property, including upland areas, grazing land, village-use forests and sacred forests. All community members are entitled to use communal land, and village authorities may grant similar use rights to those from surrounding villages. Communal tenure systems have evolved over a long period and vary from village to village. There is no formal registration process for communal tenure, though it remains an important part of the cultural, political, social and economic frameworks of rural communities (World Bank 2006; Mann and Luangkhhot 2008).

Rural families may also hold land use rights under informal or customary rules. These land use rights are usually attributed to family plots, paddy land or land for swidden agriculture. These land use rights may be allocated by customary local authorities under local rules, and varies from village to village. The village chief (i.e. Nai Ban) may issue a Village Heads Certificate on Land Ownership, which while not valid on its own, may be used by local authorities to resolve disputes or used by the family as additional proof of ownership when applying to the state for a land survey certificate (World Bank 2006; Mann and Luangkhhot 2008; GTZ 2009).

The Land Law also stipulates that, in case public infrastructure development projects cause damages to trees, crops or buildings of the private owners, the land owners have the rights to be compensated for the damages.

2.1.6 Law on Handling of Petitions (2015)

The revised Law on Handling of Petitions 012/NA approved by the National Assembly on December 5, 2014 and the President in 2015 provides provisions of objectives, principles and process of applying and handling different types of grievance, petition and complaints that may be raised by citizens. The Grievance Redress Law divides grievances into three categories as follows:

1. Proposals is to be applied to and resolved by concerned authorities.
2. Grievance is to be applied to and resolved by judicial institutions and court
3. Petition is to be applied to and resolved by Provincial and National Assembly

The Law on Handling of Petitions 012/NA, 2015, which has superseded the old version of Law on Grievance dated November 5, 2005 applies and protects rights and interest of all citizens and entities, state organizations, community and individuals with the aim to ensure justice, social security and order.

2.1.7 Relevant International Instruments

The Constitution of Lao PDR has been amended to incorporate human rights principles outlined in the international treaties and conventions of which Lao PDR is a signatory party. Chapter four, articles 34 to 51 explain the basic rights of Lao citizens. In addition, basic rights as delineated in international instruments are included in many other national laws, such as the law on the protection of the rights and the interests of children, 2006 (see Table 1). The GoL set up the National Human Rights Research Centre in Vientiane, whose main objective is to support, encourage, and implement human rights within the country. Its mandate also considers the carrying out of research on ethnic groups. The Centre was approved by decree, No. 95, dated 11/07/06 and by Prime Minister's decree, No. 137, dated 24/07/2006. The Lao PDR has been a member of the International Labour Organization (ILO) since 1964. Though the country has ratified a total of eight ILO Conventions, including five of the eight ILO core Conventions, Convention 169 on Indigenous Peoples has not been ratified.

Table 1 International treaties and conventions in Lao PDR.

No	Name of Convention	Date of Signature	Date of Ratification/ Accession

1	International Covenant on Civil and Political Rights	7 December 2000	29 September 2009
2	Convention on the Rights of Persons with Disabilities	15 January 2008	29 September 2009
3	International Convention for the Protection of All Persons from Enforced Disappearance	29 September 2008	Not yet ratified
4	International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families	Not yet signed	Not yet ratified
5	Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment	21 September 2010	26 September 2012
6	Convention on the Rights of the Child		8 May 1991 (a)
7	Convention on the Elimination of All Forms of Discrimination against Women	17 July 1980	14 August 1981
8	International Covenant on Economic, Social and Cultural Rights	7 December 2000	13 February 2007
9	International Convention on the Elimination of All Forms of Racial Discrimination		22 February 1974 (a)
10	UN Convention Against Corruption	10 December 2003	29 September 2009
11	UN Declaration on the Rights of Indigenous Peoples		13 September 2007

3.0 ETHNIC GROUPS IN THE PROJECT AREAS

Lao PDR is one of the most ethnically diverse countries in South East Asia. The country's population of approximately 6.8 million people (Census 2015) can be categorized into four broad ethno-linguistic families: The Lao-Tai (67%), the Mon-Khmer (21%), the Hmong-Iew Mien (8%), and the Sino-Tibetan (3%). These groups encompass 49 distinct ethnicities and over 200 ethnic sub-groups. Specifically, the Lao-Tai is comprised of eight ethnic groups, the Mon-Khmer thirty-two, the Hmong-Lu Mien two, and the Sino-Tibet seven.

In the five target Provinces, there are approximately 11 different ethnic groups (Please see Table 2 below). Each group have their own

Table 2. Ethnic groups in the 5 target provinces, 2016.

Ethnic Groups	Number of Households	Total Population	Number of Females
<i>Lao Tai Ethno-Linguistic Family</i>			
Lao Tai groups (Lao Landers)	30,910	154,550	77,275
Nhouan	1,955	9,775	4,888
Phouthay	1,518	7,590	3,795
Lue	1,470	7,350	3,675
Tai	76	380	190

<i>Hmong lewmien Ethno-Linguistic Family</i>			
Hmong	376	1,880	940
lewmien	70	350	175
<i>Mon-Khmer Ethno- Linguistic Family</i>			
Makong (Bru)	922	4,610	2,305
Khmu	269	1,345	673
Katang	28	140	70
Pray	26	130	65
Total	37,620	188,100	94,51

Out of 37,520 beneficiary HHs, 1,700 HHs (8,450 out of 188,100 people) or around 5% are of 6 ethnic minority groups defined as Indigenous People under OP/BP 4.10. These ethnic groups include Hmong (376 HHs), lewmien (70), Bru or Makong (922), Khmu (269), Katang (28) and Pray (26 HHs). These project beneficiaries live in 15 agricultural districts of 5 provinces namely Vientiane Capital, Vientiane province, Bolikhamxay, Khammouane, and Xayabury. Hmong and lewmien groups are concentrated in the northern and central provinces of Laos (Phongsaly, Oudomxay, Bokeo, Houaphan, Laungphabang, Xayabouly, Vientiane Province and Bolikhamxay). Khmu can be found mainly in the northern provinces listed above (Phongsaly, Oudomxay, Bokeo, Houaphan, Laungphabang, Xayabouly) and in some villages of Vientiane Province. Makong and Katang are found Bolikhamxay, Khammouane and southern provinces (Savannakhet, Saravan, Chnepasack and Attapeu)

4.0 POTENTIAL PROJECT IMPACTS ON ETHNIC GROUPS

4.1 POTENTIAL IMPACT

The project is anticipated to have an overall positive impact on people from ethnic groups albeit some potential social and environmental adverse impact (minor) are envisaged, as below:

Social:

- Land acquisition: There are some insignificant permanent and temporary impact that may affect the land, production activities, and livelihoods of local peoples. This is due to the rehabilitation of the existing irrigation channels. These impacts are anticipated to be minor and localized because of the nature of the repair works which will be carried out on the existing irrigation structures. Therefore, these impacts are manageable and reversible.
- Temporary disruption to crop production: it is anticipated that restricted access to irrigation water during the construction period are likely to take place. However, such restriction of water access could be avoided by appropriate construction measures, such as conducting construction during the dry season to avoid/reduce the possibility of irrigation water restriction, or diversion of channel to ensure continuous water access.
- Temporary environmental impact: dust, noise, increased traffic as a result of construction operations may affect the income generation activities of local people who run shops, local businesses, etc.). If avoidance is not possible, these impacts will be compensated for if they affect the income generation activities of local peoples.

- Inclusion: Poor farming households, including poor ethnic groups, may potentially left behind in a way they could not become project beneficiaries in agri-business partnership because of small farm size, remote geographical location (hardly accessible), limited farming practices, cultural norms and practices. Plan is developed to ensure the project promotes social inclusion through a range of activities that are cultural appropriate to ethnic minorities, and poor farming households who are keen to participate to improve their livelihoods.
- Potential risks for ethnic groups: In addition to the potential (minor) adverse impact as mentioned above, including a) permanent and temporary impact related to land acquisition, b) temporary impact on income generation activities/ agricultural production during construction (including engagements with contractors), and c) possibility of being excluded from project benefits, there are also potential risks that are related to a) limited effectiveness of project activities that target ethnic groups because of the lack of intervention methods that could fully and appropriately address the existing socio-cultural constraints of target ethnic groups so as to promote adoption of project recommended farming practices, and b) loss of land or access to resources in relation to mapping, demarcation, and registration of irrigation land/systems in the project area on a block basis (e.g. the process disregarding land under customary management and/or fallows).

Environment

During the rehabilitation process of the irrigation channels, it is anticipated there would be some temporary environmental impact such as dust, noise that take place as a result of construction. Possible temporary impact on income generation activities (shops, food shop, businesses) due to increased traffic, dust, noises from other places (i.e. quarry) to construction sites.

To avoid/minimize the above potential impact, during project implementation, ethnic groups will be consulted through free, prior and informed consultation so that ethnic peoples will have opportunities to participate in project planning, implementation, monitoring and evaluation. They could improve their farming knowledge – through agricultural trainings, and improve their crop yield through access to high quality seed. Farmers will have chance to improve their income by diversifying their crops on the basis of their local knowledge, and by working together with their fellow farmers to undertake agricultural productive partnerships to ensure to improve their income. They will also benefit from improved irrigation channels which provide them with more reliable access to water, which help minimize the risk of crop failure due to water shortage. Ethnic women will also benefit from nutrition trainings that are implemented through agricultural extension trainings and social behavior change communication campaigns. Nutrition training are expected to help women adopt good nutrition practices which help them improve their families' nutritional status. Both men and women of ethnic groups will have equal opportunities to participate in the project. They can choose to join project activities that are culturally appropriate to them.

4.2 MITIGATION MEASURES

In terms of adverse impact related to rehabilitation of existing irrigation systems:

The construction of the select irrigation channels may involve minor permanent land acquisition, and temporary impact on land and income generation activities as a result of environmental pollution and restricted water access during construction operations. Every effort will be made to avoid. However, when avoidance is not possible, a Resettlement Action Plan will be prepared in line with project's CRPF to ensure affected households will be compensated for the adverse impact so that their livelihood is not worse off as a result of the subproject.

For the potential risks related to potential limited effectiveness of project activities that target ethnic groups because of the lack of intervention methods that could fully and appropriately address the existing socio-cultural constraints of target ethnic groups so as to promote adoption of project recommended farming practices, free, prior and information consultation

will be maintained during project implementation – for all project activities that target ethnic groups. This aims to assure sociocultural concerns/constraints of target ethnic groups are brought into consideration when designing and implementing intervention methods for specific activities, such as agricultural extension trainings, participation in productive partnerships, management of irrigation systems. Please see Annex 3 for an Impact Matrix and Measures to address potential impact and enhance development effectiveness and Annex 4 for recommendations to promote participation and ownership of project beneficiaries, including ethnic groups, to ensure that activities provided to ethnic groups are culturally appropriate to them and ethnic groups could receive socioeconomic benefits from the project.

For the potential loss of land or access to resources in relation to mapping, demarcation, and registration of irrigation land/systems in the project area on a block basis (e.g. the process disregarding land under customary management and/or fallows). The risk is anticipated to be low because of the nature of the exercise will be primarily field observation and measurements – at land block basis. No physical intervention to land and on-farm activities of the farmers are envisaged. In cases where loss of land or limited access to farming resources arise as a result of this exercise, consultation with affected households will be conducted as per CRPF (as per EGEF for the case of affected ethnic households). Compensation will be made to affected households as per project's CRPF if such potential impacts happen. In addition, closer technical support and extension service will be tailored and provided for the ethnic groups of farmers and agribusinesses. Where, ethnic beneficiaries are found to have difficulty in communication and participation in the project activities possibly due to cultural and linguistic barriers, the project (PAFO and DAFO) staff are encouraged to partner and work closely with on-going donor development projects, CSOs working in the LACP area, Lao Front for National Development (LFND) and Lao Women's Union (LWU)- the government mass organizations mandated to advocate and promote ethnic people and women in development process with their existing networks from the national to village levels. LFND and LWU are staffed with ethnic and female personnel who can speak the ethnic languages mobilized to help with facilitation, interpretation and mobilization of the ethnic groups to effectively participate in and benefit from the project activities.

Aside from adverse impacts, ethnic farmers may also benefit from project activities, which will need to be designed in a culturally appropriate manner, and through a process of free, prior and informed consultation. In particular, these activities may include:

- (i) Establishment and capacity building for farmer groups and their members; and
- (ii) Mapping, demarcation, and registration of irrigation land/systems in the project area on a block basis (not for individual plots).

Where these activities are being carried out in locations where ethnic groups are likely to be benefit, an ethnic group development plan will need to be prepared, based on a social assessment and process of free, prior and informed consultation.

4.3 MEASURES TO ENHANCE GENDER EQUITABLE ACCESS

On the basis of the preliminary social assessment undertaken during preparation, the project will undertake a number of intervention actions that aims to a) ensure ethnic groups are provided opportunities to participate in project planning and implementation, and b) men and women from ethnic groups have equal opportunities to participate in project – through the gender action plan, and to receive socioeconomic benefits from the project. These measures are outlined Annex 3 (Gender Action & Monitoring Plan) from the Social Assessment report prepared for the project.

4.4 BROAD COMMUNITY SUPPORT

Given the project activities create an overall positive impact where the adverse impact is minor and manageable, through a preliminary social assessment exercise conducted during the preparation phase the project, representatives from potentially affected ethnic groups confirmed their broad support for project implementation (Please see Annex 1 of the document

for Summary of Consultation Outcomes, and the Social Assessment report prepared for this project for further details). Once the design and location of project activities are known, Broad Community Support will be determined for specific sub-projects and activities, following a process of social assessment and free, prior and informed consultation.

4.5 IMPLEMENTATION ARRANGEMENTS FOR THE EGEF

The project's positive impacts will depend upon the degree to which it is successful in ensuring the inclusion of vulnerable groups, including ethnic groups, women, elderly and youth/children. This requires a participatory approach in the design and planning process and safeguards to overcome economic and cultural barriers.

The sub-projects to be implemented under Component A (Improved Agriculture Efficiency and Sustainability) might involve potential minor land acquisition to upgrade existing irrigation channels. This may affect ethnic groups and other vulnerable groups in areas where land of ethnic peoples is close to the existing irrigation channels. An important component of the EGEF is to ensure that the requirements of the Framework, and the World Bank's policy on indigenous people, are implemented in conjunction with the existing processes for local planning and engagement with the communities.

Implementation of the EGEF for sub-projects funded in areas where ethnic groups reside requires that (a) the WB screen to identify whether ethnic groups are present in, or have collective attachment to, the project area; (b) the borrower undertakes a social assessment to assess potential impacts and identify culturally appropriate benefits; (c) the borrower conducts free, prior and informed consultations with affected ethnic groups leading to their broad community support for the relevant project activities; and (d) the borrower prepares and discloses an Ethnic Group Development Plan to address particular issues concerning ethnic groups, provide culturally appropriate benefits, and ensure the avoidance or mitigation of adverse impacts. For the purposes of this project the borrower is the Ministry of Agriculture and Forestry (MAF) through its Department of Planning and Finance (DOPF). In order to fulfill these requirements, DOPF will appoint a social safeguards focal person, who will be responsible for the coordinating the implementation of the requirements of this framework, and ensuring the necessary expertise is in place to conduct social assessments, consultations, and prepared Ethnic Group Development Plans.

The level of detail necessary to meet the borrower's requirements specified in paragraph (b), (c), and (d) is proportional to the complexity of the proposed project and commensurate with the nature and scale of the project's potential effects on the ethnic groups, whether adverse or positive.

4.6 SCREENING FOR THE PRESENCE OF ETHNIC GROUPS

The World Bank has undertaken a screening process early in the Project preparation phase, and determined that ethnic groups are present in in the provinces where project activities will be taking place. This was based on the technical judgment of qualified social scientists with expertise on the social and cultural groups in the area.

Therefore OP/BP 4.10 is triggered and the procedures described in this EGEF will be followed by the client for investments taking place where the ethnic groups identified in the screening process are present in locations where sub-projects will be implemented. This includes the requirement that the borrower undertakes a site specific social assessment to evaluate the project's potential positive and adverse effects on the ethnic groups, to examine project alternatives where adverse effects may be significant, and to develop an ethnic group development plan that specifies measures to mitigate adverse effects, and deliver culturally appropriate benefits. During project implementation, as sub-project and activity locations are identified, the World Bank task team social development specialist will work with the implementing agency to determine the presence of ethnic communities, in the sub-project areas.

4.7 SOCIAL IMPACT ASSESSMENT

During the preliminary community consultations in Xayabouly, Bolikhamxay, and Khammouane Provinces, the following suggestions were made to mitigate the social impacts on project affected households (PAHs) and PAPs, including ethnic groups:

- Collection of primary data is paramount, as secondary data is usually not up-to-date;
- Involvement of local people in a participatory community-based impact analysis is important to ensure that vulnerable people, including ethnic groups, are not excluded from the decision-making related to the new development;
- If resettlement is required for vulnerable groups, including ethnic groups, emphasis should be put on improved education opportunities to give them more livelihood options. Provision of information and messages in local people's own language is important and the facilitator who explains the project should be speaking the local language.

Once the exact locations of project activities are known and the presence of ethnic communities confirmed by the World Bank task team, a social assessment will be undertaken by the implementing agency. Key elements of a social assessment include:

- a) Depending on the scale of the sub-project or activity, a review of the institutional framework applicable to ethnic groups living in the affected community will be undertaken. For example, are there communal authorities or decision making structures? and what is their relationship with local authorities?
- b) Collection and analysis of relevant baseline information on the cultural, socio-economic and political characteristics of the impacted indigenous communities, and if relevant on the land and territories they traditionally occupy and natural resources they depend on. This may be particularly relevant if the livelihoods of ethnic groups are dependent on water resources that may be impacted by civil works financed by the project.
- c) Using this baseline information, key project stakeholders will be identified within the affected communities, and a culturally appropriate process for consulting with the ethnic groups during sub-project preparation and implementation will be identified with those stakeholders.
- d) An assessment, based on free, prior, and informed consultation, with the affected ethnic group communities, of the potential adverse and positive effects of the sub-project. This assessment should be sensitive to the unique vulnerabilities of ethnic group communities, considering their distinct circumstances, ties to the land and natural resources, and potentially limited access to development opportunities compared to other groups.
- e) The identification and evaluation, based on free, prior, and informed consultation with the affected ethnic group communities, of measures necessary to avoid adverse effects, or if such measures are not feasible, the identification of measures to minimize, mitigate, or compensate for such effects, and to ensure that the ethnic group receive culturally appropriate benefits under the sub-projects.

4.8 FREE, PRIOR AND INFORMED CONSULTATION PROCESS

The World Bank's policy on ethnic groups requires a free, prior and informed consultation process leading to broad community support from ethnic groups benefiting from, or affected by, World Bank-financed sub-projects. The borrower needs to use consultative methods that are appropriate to the social and cultural values of the affected ethnic groups and their local conditions and, in designing these methods, gives special attention to the concerns of ethnic women, youth, and children and their access to development opportunities and benefits.

The usual platform for consultations are part of the SA, and the scope of the consultations required will vary depending on the specific project and the nature of effects to be addressed. The methodology used will depend on the type of communities affected by the specific project (e.g., their vulnerability, language and ongoing interactions with the dominant society or neighboring communities).

The consultation process needs to ensure:

- Ethnic groups are not coerced, pressured or intimidated in their choices of development;
- Ethnic groups' consultation is to be sought sufficiently in advance of any authorization or commencement of activities and respect is shown to time requirements of ethnic minority group consultation/consensus processes; and
- Ethnic groups have full information about the scope and impacts of the proposed development activities on their lands, resources and well-being. Information should be provided on the nature, size, pace, reversibility and scope of any proposed project or activity; the purpose of the project and its duration; locality and areas affected; a preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks; personnel likely to be involved in the execution of the project; and procedures the project may entail. This process may include the option of withholding consultation.

Consultation and participation are crucial components of a process of establishing broad community support, and the consultation process must be documented. Consultations should be conducted in the relevant ethnic language(s) when needed and sufficient lead time (minimum two weeks) should be given to ensure that all affected ethnic groups are able to participate in consultations fully informed of the sub-project and preparation of an EGEF.

Arrangements for consultations should be carefully considered and tailored to the sub-project context, the anticipated impacts and the context of the local communities. Consultation approaches may include:

- Community meetings, both with the community as a whole and with sub-groups;
- Focus group discussions and participatory planning exercises;
- Distribution of project information in both full format (project documents, assessment reports, etc.), simplified formats such as posters and brochures, and audio-visual material using local languages;
- Identification of contact persons within the communities (some training may be appropriate to enhance their ability to engage meaningfully in the consultation process);
- Involvement of the Ethnic or tribal leader if any, Provincial or District Offices of Lao Front for National Development and other local civil society organizations (CSOs) identified by the ethnic groups as important in representing their interests; and
- Opportunities for consultation at each stage of sub-project preparation and implementation.

In order to inform the preparation of this framework, preliminary Consultations with community, local authorities were conducted in Bolikhamxay (September 5-6, and 13), Xayabouly (September 8-9) and Khammouan (October 16-18). Reports on the outcomes of community consultations with the list of participants are provided in Annex 1.

In compliance with the Bank's requirements on public consultations and information disclosure, a consultation was carried out on the draft safeguard documents (ESMF, EGEF, CRPF) prepared. The consultation of ESMF, EGEF, CRPF was carried out at provincial and district level in VangVieng District, Vientiane province on December 6, 2017, with representatives from the following organizations and agencies were attended: Ministry of

Agriculture and Forestry (MAF), Ministry of Industry and Commerce (MOIC), National Agriculture and Forestry Research Institute (NAFRI)¹, Department of Planning and Finance (DoPF), Department of Agriculture and Forestry Extension and Cooperatives (DAEC)², as well as representatives from all 5 provincial Natural Resources and Environment (PoNRE) and all 5 provincial Agriculture and Forestry Departments (PAFO) and their technical divisions.

Overall, representative from Ministries and provincial departments made positive comments about the content of the presentation including the ESMF, EGEF and CRPF that presented by PPT specialists. Comments, questions and observations made during the plenary sessions are summarized below:

- The participants agreed that impacts from the project will be overall positive. Potential negative impacts are envisaged to be minor: limited, localized, manageable and reversible.
- The participants agreed with the environment safeguard tools including ESMF and ECOP for mitigating potential environmental issues during subproject implementation and some provinces also want to apply the provincial Integrated Environmental Management Plan (IEMP)
- Environmental category shall follow the Decree No: 8056/MoNRE dated December 17, 2013 on approving and promulgating investment projects and activities requiring initial Environmental Examination (IEE) and Environmental Impact Assessment (EIA). A screening process shall be conducted by a qualified consulting company in cooperation with PAFO and PoNRE in early stage to determine whether subproject activities will require IEE or not.
- Adequate budget for environmental and social screening, assessment and monitoring shall be allocated for PoNRE and DoNRE staff during project implementation.
- Water resources in the project areas should be screened and monitored by the technical line agencies in order to evaluate the risks and negative impacts (insufficient water quantity) during project implementation.
 - Further support for capacity building on environmental and social safeguard, consultations and dissemination will be provided at the district and community level in coming months.

The report on public consultation carried out on December 6, 2017 is provided in Annex 6.

Disclosure

In line with the Bank's Public Consultation and Disclosure Policy, for the LACP, the ESMF SA, CRPF, and EGEF have been revised to incorporate feedback from public consultation held in December 6, 2017 and were locally disclosed in Lao and English in the project provinces and on MAF website on December 6, 2017, and subsequently on the World Bank website on December 19, 2017, for public access.

4.9 PREPARATION OF AN ETHNIC GROUP DEVELOPMENT PLAN

According to the World Bank OP/BP 4.10, when screening indicates that ethnic groups are likely to be present, the findings from the Social Assessment and free, prior and informed consultation process will be used by the designated implementing agency to prepare an Ethnic Group Development Plan (EGDP) for the specific sub-project affecting ethnic groups. The EGDP will establish the measures through which the borrower will ensure that (a) ethnic groups affected by the project receive culturally appropriate social and economic benefits; and (b) when potential adverse effects on ethnic groups are identified, those adverse effects are

¹ The new name of NAFRI is Research Institute of Agriculture, Forestry and Rural Development. Most people still use to the old name of NAFRI.

² The new name of DAEC is Department of Technical Extension and Agro-Processing. Most people still use to the old name of DAEC.

prevented (avoided), minimized, mitigated, or compensated. The EGDP should be prepared in a flexible and pragmatic manner, and its level of detail will vary depending on the specific project and the nature of effects to be addressed. The borrower integrates the EGDP into the project design.

Where required, an EGDP should include the following elements, as needed (proportional to the scope, benefits, impacts and risks of the sub-project):

- a) Sub-Project or activity description and summary description of issues relating to ethnic groups;
- b) A summary of the legal and institutional framework applicable to ethnic groups;
- c) A summary of the social assessment including baseline information on the demographic, social, cultural, and political characteristics of the affected ethnic groups, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend;
- d) A summary of the results of the free, prior and informed consultation with the affected ethnic groups that led to broad community support for the sub-project;
- e) A framework to ensure free, prior, and informed consultation with the affected ethnic groups during the implementation of sub-project activities;
- f) Measures to ensure that the affected ethnic groups receive social and economic benefits that are culturally appropriate;
- g) A description of the institutional arrangements for the implementation of the EGDP;
- h) Measures to avoid, minimize, mitigate, or compensate for adverse effects;
- i) The cost estimates and financing plan for the EGDP;
- j) Grievance redress mechanisms accessible to the affected ethnic groups; and
- k) Monitoring, evaluating and reporting on the implementation of the EGDP, along with specific monitoring indicators (disaggregated by ethnicity).

4.10 REVIEW AND APPROVAL OF AN ETHNIC GROUP DEVELOPMENT PLAN (EGDP)

Once an EGDP for a subproject is completed by PAFO, the EGDP needs to be submitted to the World Bank for prior review and approval prior to implementation. The approved EGDP is required to be publicly disclosed in MAF, PAFO and DAFO and on MAF's website.

5.0 IMPLEMENTATION ARRANGEMENTS

The Agriculture Commercialization Project will be executed by Ministry of Agriculture and Forestry (MAF) through its Department of Planning and Finance (DOPF) in close collaboration with Ministry of Industry and Commerce (MOIC). At the provincial level, project activities will be managed and implemented through its provincial agencies, PAFOs and the partner agencies, POIC. Focal points or staff from DOPF have been appointed for preparation of safeguard instruments (ESMF, CRPF and EGDF) and compliance monitoring and reporting. Similarly, focal staff from PAFO and its line agency at district level have also be assigned to ensure the effective implementation, monitoring and reporting on safeguard compliance on the ground. To ensure safeguard implementation capacity in place, the appointed safeguard team will be provided with training and technical assistance by safeguard consultant recruited in the DOPF. The team will also be provided with guidance and support from the World Bank environmental and social safeguard specialists throughout the course of project implementation. The status and findings of safeguard compliance monitoring will be documented in the project progress report by the team of safeguard focal staff with support from the safeguard consultants and submitted to the World Bank for review. Key responsibilities and detailed tasks assigned to each level of the safeguard team are provided in Table 3 below:

Table 3 Key responsibilities for ESMF implementation.

Sub-project Cycle	MAF/DOPF	PAFOs in Xayabouly, Vientiane, Vientiane capital City, Bolikhamxay and Khammoaune
Screening	<p>Advise applicants and other stakeholders about environmental and social safeguard procedures.</p> <p>Review the concept note/idea and screen for potential safeguard issues, and advise applicants regarding the nature and content of the safeguard documents and measures to be prepared.</p> <p>In the case of Ethnic Communities, the screening for the presence of ethnic groups in the sub-project areas will be conducted by the World Bank's task team social development specialist.</p>	<p>Assess any potential safeguard issues early in the preparation process, including screening for the presence of ethnic groups.</p> <p>Describe potential safeguard issues in the safeguard screening form to be attached to the sub-project proposal.</p>
Assessment and Preparation	<p>Advise applicants on safeguard issues, as needed.</p>	<p>Undertake safeguard preparation actions as required, such as social assessment and consultations with local communities and/or collection of data.</p> <p>Design safeguard measures and prepare documents, such as an Environment Code of Practice (ECoP), ESMP, ARAP, EGDP, etc. as agreed with MAF/DOPF.</p> <p>If applicable, disclose draft safeguard documents with the sub-project proposal to affected communities prior to final review of proposal by the MAF/DOPF.</p>
Review and approval	<p>Review sub-project proposals for safeguard impacts and social risks.</p> <p>Assess the adequacy and feasibility of the safeguard assessment and consultation process. If needed, request further steps.</p> <p>Assess the adequacy and feasibility of safeguard measures and documents. If needed, request appropriate changes to these and reassess prior to final approval.</p> <p>If the ethnic groups (equivalent to WB OP/BP 4.10) are affected, ascertain that they have provided their free, prior and informed consultation to sub-project activities affecting them.</p> <p>If applicable, publicly disclose safeguard related information on the website after sub-project approval.</p>	<p>Submit sub-project proposal with safeguard measures and documents as agreed. If requested by the DOPF, take additional steps to meet EGEG and safeguard policy provisions. Re-submit proposal with revised safeguard measures and documents, as needed. All national and local legislation and regulations will be complied with.</p> <p>Prepare an action plan as needed if the sub-project is likely to have impacts on CSOs (non-profit associations and Community Based Organizations [CBOs]).</p>
Implementation	<p>Supervise and review safeguard documents and issues during sub-project implementation. If needed, request changes to safeguard measures.</p> <p>Review and approve Plan of Actions that are required to be prepared during implementation of sub-projects.</p>	<p>Disclose final safeguard documents, if any, to affected communities.</p> <p>Monitor and document the implementation of safeguard measures.</p> <p>When the ethnic groups (equivalent to WB OP/BP 4.10) are affected, include them in participatory monitoring and evaluation exercises.</p>
Evaluation	<p>Ensure inclusion and review of environmental and social safeguard issues and outcomes in mid-term and final sub-project evaluation and reporting, including concerning any lessons learned on the sustainability of each sub-project.</p>	<p>Evaluate the implementation and outcomes of safeguard measures.</p> <p>When the ethnic groups (equivalent to WB OP/BP 4.10) are affected, include them in participatory evaluation exercises.</p>

6.0 MONITORING AND EVALUATION ARRANGEMENTS

Monitoring is a key component of the environmental and social safeguards performance during project implementation. Monthly, quarterly- and semi-annual monitoring reports will be undertaken as per specific activities in order to:

- Improve environmental and social management practices;
- Ensure the efficiency and quality of the environmental and social assessment processes;
- Establish evidence- and results-based environmental and social assessment for the project; and
- Provide an opportunity to report the results of safeguards, impacts and proposed mitigation measures' implementation.

In regard to implementation of the proposed sub-projects, the DOPF/MAF will conduct monitoring activities during the feasibility studies and ESMPs/EGDP/ARAP/RAP to determine the extent to which mitigation measures are successfully implemented. Monitoring will focus on three key areas, including:

(i) Compliance Monitoring: To verify that the required mitigation measures are considered and implemented. During the sub-project preparation phase, compliance monitoring activities will focus on ensuring effective ESMF implementation and respect of procedures. The DOPF/MAF Environmental and Social Specialist will ensure that sub-project studies are properly and expeditiously conducted in compliance with GoL law and the World Bank regulations.

The feasibility studies will also include an assessment of the conditions for implementation of the ARAP and EGDP related activities;

- Grievances, especially those that have not yet been resolved at the local level and which may require resolution at the higher levels as initially determined in the ESMF;
- Document completion of project resettlement and compensation if these are applicable, including for all permanent and temporary losses;
- Evaluation of the quality of compensation or other relevant mitigation measures that would be applied in accordance with the requirements of the potential future investment projects that have been initially identified, including impacts on livelihoods; and
- Mitigation measures when there are significant changes in the indicators that may require strategic interventions, for example, if different populations (ethnic peoples and vulnerable groups – women and female/male youth and children, the elderly and disabled, landless, and poor, etc.) are not receiving sufficient support from the potential sub-project.

During the implementation phase, compliance monitoring would include inspections during construction of the sub-project initiatives to verify the extent to which conditions based on which licenses are issued and adhered. The effective project construction, operational and decommissioning phase will be the full responsibility of MAF and compliance monitoring ensured by MONRE.

(ii) Impacts Monitoring: Once the project is under implementation, monitoring of sub-project initiatives' impact mitigation measures should be the duty of the PAFOs. It is expected that the environmental and social safeguards documents will be given to the contractors and the PAFOs with guidance and support from DOPF and safeguard consultants will monitor to ensure that works are preceding in accordance with the agreed (between GoL and the World Bank) mitigation measures.

Monitoring and evaluation of the social impacts will measure the following:

- Impacts on affected individuals, households and communities to be maintained at their pre-project standard of living, or better;
- Gender differentiated impacts to be avoided, minimized or addressed;
- Improvement of communities affected by the project to at least pre-project level; and
- Management of disputes or conflicts.

In order to measure these impacts, the pre-feasibility studies will identify:

- Specific indicators to be monitored with gender disaggregated data;
- Define how indicators will be measured on a regular basis; and
- Identify key monitoring milestones (e.g., at mid-point of the ARAP implementation process, if applicable).

(iii) Cumulative Impacts Monitoring: Impacts of the sub-projects on the environmental and social resources in the project areas will also be monitored in consideration of other developments which might be established.

In order to ensure IP are engaged in the monitoring and evaluation process, a monitoring group will be established within the affected ethnic group community. The composition of this committee will be subject to a process of free, prior and informed consultation and will build on the unique decision making structures of individual ethnic group communities, as well as requirements for gender and intergenerational balance. These monitoring groups will review the environmental and social monitoring reports described above.

7.0 GRIEVANCE REDRESS MECHANISM

A grievance redress mechanism will be established within the affected ethnic group community based on the existing structure from the village mediation unit (VMU) established in all villages, District Office of Justice (DOJ) and DAFO at district level and the Provincial Assembly and PAFO at the provincial level. These institutions will be used and strengthened to receive, evaluate and facilitate the resolution of concerns, complaints and grievances emanating from within the ethnic group community in accordance with the Law on Handling of Petitions (2015). The VMU at the village level would be comprised of representatives of ethnic group community leaders, and head of mediation unit or village elder person. The grievance redress institution will function, for the benefit of the members of the ethnic group community, during the entire life of the sub-projects, including the defects liability period.

Consultation with members of the affected ethnic group community will take place early in the process of the project planning. Prior to sub-project commencement, community leaders will consult with members of the affected community and the whole process is to be well documented.

All complaints and grievances will be received in writing, or if given verbally then written at the same time and place, members of the affected ethnic group community and duly recorded by each level of the grievance redress process (community, district, provincial). A template or form could be developed that is easy to understand and to fill in for anyone who wishes to issue a complaint. Members of affected ethnic group communities will be exempted from all administrative and legal fees incurred pursuant to the grievance redress procedures. Grievances related to any aspect of the proposed sub-projects will be dealt with through negotiations with the ultimate aim of reaching a consensus. Grievance redress procedures aim to provide a time-bound and transparent mechanism to voice and resolve social and environmental concerns linked to the sub-projects. These grievance redress procedures are not meant to circumvent the government's inbuilt redress process, nor provisions of the national laws, but rather to address members of ethnic group communities' concerns and

complaints promptly, making it readily accessible to all segments of ethnic group communities and scaled to the risks and impacts of the sub-projects.

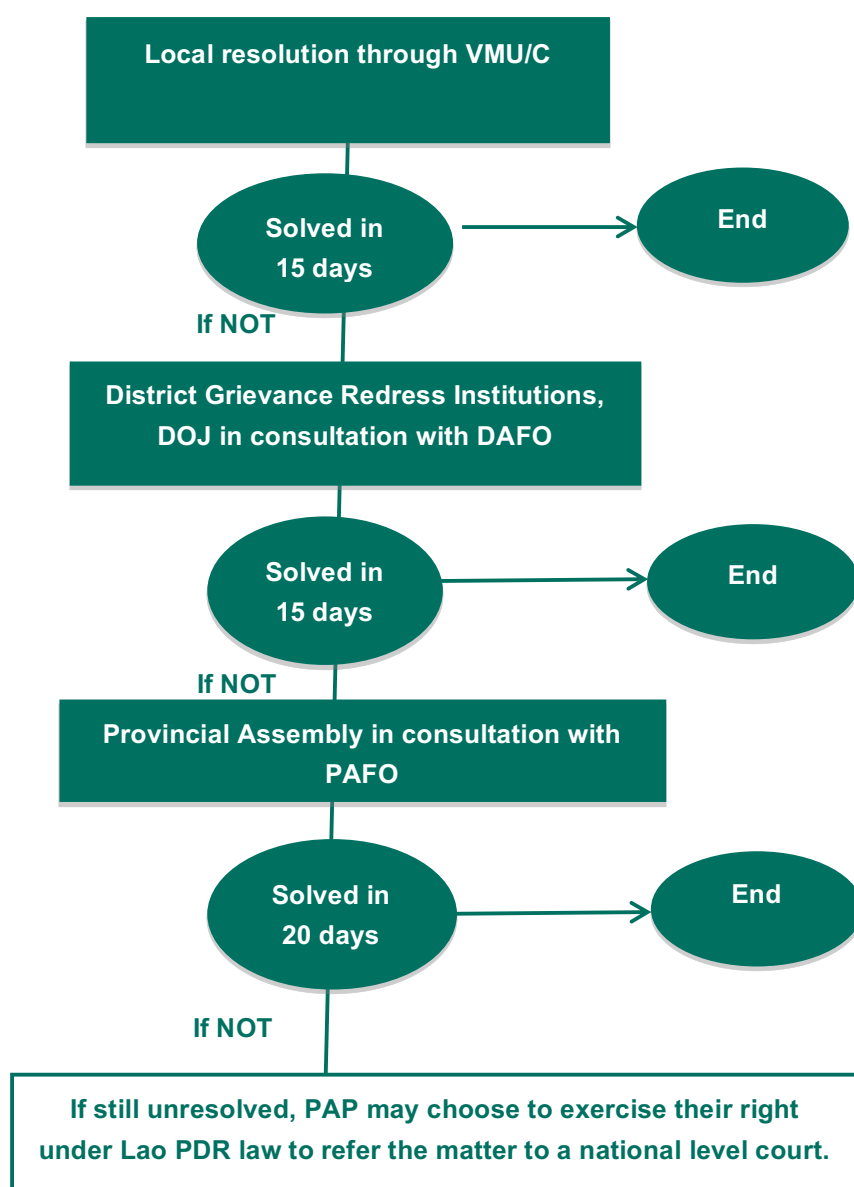
The EGDP will establish the means for members of affected ethnic group communities to bring complaints to the attention of relevant project authorities. Grievance procedures should include reasonable performance standards, including time required to respond to complaints and should be provided without charge to those displaced persons. The EGDP should also state other avenues available to aggrieved persons if the project-related procedures fail to resolve complaints.

The ESMF contains details on the grievance redress mechanism for the project. Grievances related to environmental and social issues from directly or indirectly affected ethnic groups as a result of implementation of sub-projects will be resolved by the Grievance Redress Institutions (GRIs) through the project grievance redress mechanism presented in Figure 1.

However, the complainant also retains the right to bypass this procedure and can address a grievance directly to the PAFOs or the Provincial Assembly, as provided by law in Lao PDR. At each level grievance details, discussions and outcomes will be documented and recorded in a grievance logbook. The status of grievances submitted and grievance redress will be reported to PAFOs through the monthly report. In order to effectively and quickly resolve grievances PAP and PAH may have, the following process will be applied:

- Stage 1: if members of ethnic group communities are not satisfied with the resettlement plan or its implementation and subproject implementation, they can issue a verbal or written complaint to Village Mediation Unit
- Stage 2: if members of the ethnic group community are not satisfied with the result in Step 1, they can file an appeal with the grievance redress institutions at the project level namely DOJ via DAFO. The VMU should make the arbitrated decision within 15 days;
- Stage 3: if they are not satisfied with the result of Step 2, they can file an appeal with the Provincial Assembly via PAFO for administrative arbitration after receiving the decision made by the District level Grievance Redress Institutions (DOJ and DAFO). The administrative arbitration organization should make the arbitrated decision within 20 days; and
- Stage 4: if they are still unsatisfied with the arbitrated decision made by the administrative arbitration organization, after receiving the arbitrated decision, they can file a lawsuit in a civil court according to the relevant laws and regulations in Lao PDR.

Figure 1 - GRI process.



Members of ethnic group communities can make a complaint or appeal on any and all aspects of sub-projects' design and implementation, compensation and resettlement. A complaint and grievance feedback form, as well as a pamphlet explaining the mechanism, will be developed under the project and distributed in ethnic group communities, for use by community members to raise complaints or grievances. Ethnic group community members will be clearly informed of the complaint and appeal channels described above through community meetings and other forms of communication. Information and communications technology and media tools should be used to disseminate information. Opinions and suggestions on resettlement provided by concerned people and organizations should be documented and resettlement organizations, at various levels, should study and address any issue in a timely manner.

The organizations addressing the community level complaint and appeal process shall not charge any fee. Any expenses incurred due to complaint and appeal should be paid as unexpected expenses by the DPF.

8.0 DISCLOSURE ARRANGEMENTS FOR ETHNIC GROUPS TO BE PREPARED UNDER THE EGEF

The OP/BP 4.10 requires that the borrower disseminates the SIA report and draft EGDP to the affected ethnic groups using culturally appropriate methods and locations. In the case of an EGDP, the document is disseminated by DOPF, PAFOs and DAFOs to reach ethnic groups who are likely to be affected by the project. Where necessary, the document may be disseminated using other provincial or District Lao Front for National Development (LFND) as appropriate. At the local level, the SA report and draft EGDP will be disclosed and disseminated in a public meeting, held in a location and language, and at a time, appropriate to the members of the affected ethnic group community.

Before sub-project approval, the borrower must send the SA and draft EGDP to the World Bank for review. If the World Bank determines that the documents are acceptable for project appraisal, the Bank makes them available to the public in accordance with The World Bank Policy on Access to Information, and the borrower makes them available to the affected ethnic groups in the same manner as the earlier draft documents.

9.0 BUDGET

The budget estimated to implement the EGEF and the related sub-projects is estimated at USD 13,000 (Table 4). The source of financing will be from Component 4, Project Management.

Table 4 Indicative budget for implementation of the EGEF and related sub-project

No.	Description	Indicative Cost (USD)
1	Consultation with ethnic groups at preparation for ESMP and Ethnic Group Development Plan (EGDP)	3,000
2	Recruitment of national consultant(s) (part-time) to prepare EGDPs and relevant sections of EMSPs	3,500
3	Monitoring visit and support for 5 provinces	3,500
4	Recruitment of national consultant to conduct participatory monitoring and evaluation of EGDPs	3,000
Total		13,000

At this point in time, an estimated amount cannot be provided for the implementation of the EGDPs to be prepared as exact locations of the sub-projects, and their impacts on ethnic communities, cannot be determined. These budgets will be developed during implementation, and will be financed out of Component C (Project Management).

ANNEX 1 – SUMMARY OF COMMUNITY CONSULTATION OUTCOMES

No.	Project Province	Time	Venue	Participants	Consultation Outcomes
1	Bolikhamxay Province	6 Sep 2017, 8:00 am	Community Center of Houana village, Bolikhan District	<ul style="list-style-type: none"> ▪ Village: 23 persons, including representatives from Lao Lung, Hmong, Khmou. ▪ Representatives Village, including ▪ Representatives of District and Provincial Agriculture and Forestry Office 	<ul style="list-style-type: none"> ▪ Potential Project Impact: Participants agreed that the project would have positive impacts, and concurred with the positive impacts. Participants acknowledged the list of adverse impacts mentioned by the safeguards specialists. All agreed that the adverse impacts seemed reasonable and temporary. ▪ Compensation payment (land): Participants positively receive news about compensation principles to be applied under the project. They have no comments. ▪ GRI: In order to address concerns and adverse impacts, participants agreed that they would usually go to the village headman as the first point of contact. If it is related to irrigation, complaints will go to Water User Group first. In cases where the complaints are not satisfactorily addressed by the headman, they would consider approaching either the head of the ethnic group (if they were an ethnic minority themselves), or approach the district level leaders. ▪ Language of Consultation: Participants were asked if ethnic minorities preferred to have the consultations held in their own language. The group indicated that Lao language would be the preferred method. ▪ Community Support: Given the project's benefit, the community indicated that they wanted the project to start and that they wanted implementation to begin in the early years. Participant attending the group meeting and the Hmong group leader attending a separate consultation confirmed their support for project implementation.
2	Xayabouly Province,	8:00 am, 8 Sep 2017	Thad Village, Xienghone District	<ul style="list-style-type: none"> ▪ Approximately 170+ people attending the consultation meeting, including 9 people from Hmong ethnic group; 11 from Khmou ethnic 	<ul style="list-style-type: none"> ▪ Potential Project Impact: Participants agreed that the project would have positive impacts, and concurred with the positive social and environmental impacts described. They understood the potential adverse impact – social and environment as presented.

No.	Project Province	Time	Venue	Participants	Consultation Outcomes
				group; 1 from Lue ethnic group, and all remaining 100+ are from Nhouan ethnic group.	<ul style="list-style-type: none"> ▪ Land acquisition. Main canal in this area passes through community land, and secondary/tertiary canals impact individual household lands. Participants think the benefits from the irrigation scheme improvements outweigh land acquisition impact. Participants said they are happy to donate their affected land. Upon listening to the compensation principles of the project, participants confirmed they understand and agree with this. We support the project which is why we are here. ▪ GRI. Ethnic peoples lodge any complaints to the village organization. Ethnic groups also go to village organization. They never go to the head of the ethnic group.” ▪ Participation. Participants were asked if women would turn out in good numbers for training (just like at today's meeting), participant said yes. Ethnic peoples can also be encouraged to participate in project activities by designing activities that are appropriate to them in terms of culture, farming practices. ▪ Gender. Women are involved with crop production (growing, transplanting, harvesting) and livestock. Men work more with pest management and fertilizer application which are generally heavy work. Men typically coordinate water with other members in the water user group to ensure sufficient water for their crop. ▪ Community Support. Given the potential social and environmental positive impacts, and that the project benefits outweigh the limited adverse impact, the participants indicated, through hand raising, their support for project implementation.
3	Xayabouly Province,	10:00 am, 8 Sep 2017	Dontan Village, Xienghone District	<ul style="list-style-type: none"> ▪ Approximately 126 people attending the consultation meeting. There are 6 ethnic minority groups in this village attending the consultation: Lao (3), Lue (100); Hmong (5); Khmou (11); Pray (2); Nhouan (6) 	<ul style="list-style-type: none"> ▪ Potential Project Impact: Participants listened to the presentation of potential project's impact and have no comments of potential impact. ▪ Land acquisition. In the past, people didn't receive compensation. They did land donation. After listening to the compensation principles to be applied under the project, the participants agreed.

No.	Project Province	Time	Venue	Participants	Consultation Outcomes
					<ul style="list-style-type: none"> ▪ GRI. Participants proposed complaints, if any, be lodged to the village organization, even for ethnic groups. ▪ Community Support. Given the overall social and environmental project impacts, the participants attending the consultation confirmed their broad support for project implementation (through raising of hands.)
4	Bolikhamxay Province,	13 Sep 2017	Sysomxay Village, Thaphabath District	<ul style="list-style-type: none"> ▪ 25 peoples attending the consultation (7 are women). There are 3 ethnic groups participating, including 7 from Katang ethnic people, 12 from Tai ethnic group and 6 Lao ethnic group). 	<ul style="list-style-type: none"> ▪ Potential Project Impact. Participants agreed that the project would have positive impacts, and concurred with the positive social and environmental impacts described. They understood the potential adverse impact – social and environment as presented. In terms of adverse impact, they said it is likely that during construction, there may be cases where paddy field will be passed by trucks during construction period, damaging their paddy bund. ▪ Land acquisition. In the past, there is no any compensation made for land acquisition for irrigation construction. Affected households intended to donate their land for construction of irrigation because they will benefit from improved access to water, i.e. be able to grow two crops a year. Farmer understand that improved irrigation access gain them more benefit compared to those who don't have irrigation access. The costs of paddy land are different from area to area. For example, land located near main road is very expensive, compared to paddy land which has no road access (which is cheaper). If compensation is made for affected land, farmers prefer compensation payment at market prices. ▪ GRI. If there is any conflict at communities, farmers would submit their complaints to village's organization rather than ethnic group leader. They proposed that grievance be addressed through government's organizational structure. ▪ Participation. Planning of activities at the village level currently use participatory approach. Mass organization such as Youth, Lao's Women Union, and Village Advisor should attend planning sessions of project activities. At household level, all family member should be involved. ▪ Gender. The farming activities undertaken by woman include transplanting, seedbed preparation, and harvesting.

No.	Project Province	Time	Venue	Participants	Consultation Outcomes
					<p>Men are mainly responsible for fertilizer application, plowing and preparation of paddy field, including making paddy bund.</p> <ul style="list-style-type: none"> ▪ Labour Division. Family decision making (who make the decision: women, men or both) <ul style="list-style-type: none"> ▪ Expenditure: both man and women are involved in household expenditure. ▪ Farming: both are involved in farming activities women ▪ Health: Women is generally responsible for child care. Looking for medicine and transport of patient to hospital is generally undertaken by men. ▪ Children education: women typically take children to school. However, husband needs to get involved. ▪ Irrigation: Currently, members of the water users' association are mainly men. But canal cleaning is done by both men and women. ▪ Community Support. Given the project impact is overall positive, the participants attending the consultation confirmed their support for project implementation. They look forwards to having the project and expect to get technical support and have access to improved agri-infrastructure.

ANNEX 2 - ELEMENTS FOR AN EGDP

Executive Summary

This section describes briefly the *critical facts, significant findings* from the social assessment, and *recommended actions to manage adverse impact (if any)* and *proposed development intervention activities* on the basis on the social assessment results.

I. Description of the Project

This section provides a general description of the *project goal, project components, potential adverse impact (if any) at the project and subproject levels*. Make clear the identified adverse impact at two levels – project and subproject.

II. Legal and institutional framework applicable to ethnic peoples

III. Description of the sub-project population

- Baseline information on the demographic, social, cultural, and political characteristics of the potentially affected ethnic population, or ethnic communities.
- Production, livelihood systems, tenure systems that ethnic peoples may rely on, including natural resources on which they depend (including common property resources, if any).
- Types of income generation activities, including income sources, disaggregated by their household member, work season;
- Annual natural hazards that may affect their livelihood and income earning capacity;
- Community relationship (social capital, kinship, social network...)

IV. Social Impact Assessment

This section describes:

- **Methods of consultation** already used to ensure free, prior and informed consultation with affected ethnic population in the sub-project area.
- **Summary of results of free, prior and informed consultation** with affected ethnic population. Results includes two areas:
 - Potential impact of subprojects (positive and adverse) on their livelihoods of ethnic peoples in the project area (both directly and indirectly);
 - Action plan of measures to avoid, minimize, mitigate, or compensate for these adverse effects.
 - Preferences of ethnic peoples for support (from the project) in development activities intended for them (explored through needs assessment exercise conducted during the social assessment)
 - An action plan of measures to ensure ethnic peoples in the subproject area receive social and economic benefits culturally appropriate to them, including, where necessary, measures to enhance the capacity of the local project implementing agencies.

V. Information Disclosure, Consultation and Participation:

This section will:

- a) describe information disclosure, consultation and participation process with the affected ethnic peoples that was carried out during project preparation in free, prior, and informed consultation with them;
- b) 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;
- c) in the case of project activities requiring broad-based community access and support, document the process and outcome of consultations with affected ethnic communities and any agreement resulting from such consultations for the project activities and safeguard measures addressing the impacts of such activities;
- d) describe consultation and participation mechanisms to be used during implementation to ensure Ethnic minority peoples participation during implementation; and
- e) Confirm disclosure of the draft and final EGDP to the affected ethnic people's communities.

VI. Capacity Building: This section provides measures to strengthen the social, legal, and technical capabilities of (a) local government in addressing ethnic peoples issues in the project area; and (b) ethnic organizations in the project area to enable them to represent affected ethnic peoples more effectively.

VII. Grievance Redress Mechanism: This section describes the procedures to redress grievances by affected ethnic peoples. It also explains how the procedures are accessible on a participatory manner to ethnic peoples and culturally appropriate and gender sensitive.

VIII. Institutional Arrangement: This section describes institutional arrangement responsibilities and mechanisms for carrying out the various measures of the EGDP. It also describes the process of including relevant local organizations and NGOs in carrying out the measures of the EGDP.

IX. Monitoring & Evaluation: This section describes the mechanisms and benchmarks appropriate to the project for monitoring, and evaluating the implementation of the EGDP. It also specifies arrangements for free, prior and informed consultation and participation of affected ethnic peoples in the preparation and validation of monitoring, and evaluation reports.

X. Budget and Financing: This section provides an itemized budget for all activities described in the EMDP.

Annex 3 - IMPACT MATRIX & MEASURES TO ADDRESS POTENTIAL IMPACT AND ENHANCE DEVELOPMENT EFFECTIVENESS

ACTIVITIES	POTENTIAL IMPACT	MEASURES TO AVOID/MITIGATE	APPROACH TO ENHANCE DEVELOPMENT EFFECTIVENESS	MEASURES TO ADDRESS GAPS
LAND ACQUISITION & ENVIRONMENTAL IMPACT (See also Annex 4 for Gender Action and Monitoring Plan for RAP)				
<ul style="list-style-type: none"> Land acquisition 	<ul style="list-style-type: none"> (-) Permanent loss of asset (lands, crops, structures, etc.). (-) Temporary loss of land to support construction operations (shelters, material stockpiling) 	<ul style="list-style-type: none"> Technical design/RAP &EGDP 	<ul style="list-style-type: none"> EGDP (in case ethnic minorities – as per Bank's OP 4.10, are present in project area and SA confirm the need for preparing EGDP. Affected households could participate to benefit from development activities of the project, such as, extension training, productive partnerships, access to improved seed variety, access to improved irrigation, social BBS for improved nutrition practices. 	<ul style="list-style-type: none"> Already available via CRPF and EGEF.
<ul style="list-style-type: none"> Construction operations 	<ul style="list-style-type: none"> Temporary loss of income due to environmental pollution (that affect local income generation activities) 	<ul style="list-style-type: none"> Construction measures/RAP & EGDP 	<ul style="list-style-type: none"> EGDP (in case ethnic minorities – as per Bank's OP 4.10, are present in project area and SA confirm the need for preparing EGDP. Affected households could participate to benefit from development activities of the project, such as, extension training, productive partnerships, access to improved seed variety, access to improved irrigation, social BBS for improved nutrition practices. 	<ul style="list-style-type: none"> Already available via CRPF and EGEF.
<ul style="list-style-type: none"> Construction operations 	<ul style="list-style-type: none"> Temporary loss of crop growing opportunities or reduced cropping area due to restricted access of irrigation water during construction 	<ul style="list-style-type: none"> Construction measures/RAP & EGDP 	<ul style="list-style-type: none"> Ditto 	<ul style="list-style-type: none"> Already available via CRPF and EGEF.
TARGETING OF BENEFICIARIES				
<ul style="list-style-type: none"> Demand-driven training activities 	<ul style="list-style-type: none"> The poor, vulnerable, ethnic minorities could be potentially excluded 	<ul style="list-style-type: none"> Inclusion plan 	<ul style="list-style-type: none"> Consultations Participation Criteria. Participation Preparedness. 	<ul style="list-style-type: none"> Technical requirements for Consultation, Information Disclosure, Participations, etc. will be developed and

ACTIVITIES	POTENTIAL IMPACT	MEASURES TO AVOID/MITIGATE	APPROACH TO ENHANCE DEVELOPMENT EFFECTIVENESS	MEASURES TO ADDRESS GAPS
<ul style="list-style-type: none"> Establishment of productive partnership 	from program benefits due to (geographical limitations, lack of agricultural skills/business skills, lack of land, etc.)		<ul style="list-style-type: none"> Information disclosure Languages Gender Mainstreaming Grievance Redress Mechanisms 	<p>mentioned clearly to enhance inclusion methods in Project Operations Manual.</p> <ul style="list-style-type: none"> In case of ethnic minorities, consultation, information disclosure, participation mechanism will be mentioned in site specific EGDP).
GENDER EQUALITY (See also Annex 3 for Gender Action and Monitoring Plan)				
<ul style="list-style-type: none"> Project activities (i.e. consultation, trainings, irrigation construction, etc.) 	<ul style="list-style-type: none"> Traditional roles of women (child care, household chores, handicraft, etc.) potentially exclude them from participating project events at public places 	<ul style="list-style-type: none"> Gender Action Plan 	<ul style="list-style-type: none"> Gender Mainstreaming throughout project components to provide women more opportunities to participate in project planning. 	<ul style="list-style-type: none"> Already available via project' Gender Action Plan. Could be updated based on site specific consultation with local beneficiaries in areas like irrigation, division of labor, etc.
	<ul style="list-style-type: none"> Women from ethnic groups could be potentially excluded because of their household roles 		<ul style="list-style-type: none"> Gender Action Plan EGDP 	<ul style="list-style-type: none"> Use of local languages
EFFECTIVENESS OF INTERVENTION				
<ul style="list-style-type: none"> Agricultural extension 	<ul style="list-style-type: none"> Low rate of adoption of technologies introduced under project 		<ul style="list-style-type: none"> Agricultural extension approach using 5-stage diffusion model (Everett Rogers) Leverage of Local Resources (Change agents/Opinion leaders, existing social groups/network. 	<ul style="list-style-type: none"> Take advantage of current extension network already in place, incl. PAFEC, DAFEO, Village Extension System. However, current practice focuses on only training and re-training, without post-training/follow-up support to address constraint of trainees to promote adoption.

ACTIVITIES	POTENTIAL IMPACT	MEASURES TO AVOID/MITIGATE	APPROACH TO ENHANCE DEVELOPMENT EFFECTIVENESS	MEASURES TO ADDRESS GAPS
				<ul style="list-style-type: none"> • Use of Five Stage Model of Innovation Process (See Annex 5 for more) • Take advantage of local network, such as opinion leaders, ethnic leaders with high prestige, village headmen, etc. to promote adoption of new agri-knowledge.
<ul style="list-style-type: none"> • Rehabilitation of irrigation channels 	<ul style="list-style-type: none"> • Potential water conflict (anticipated to be local, minor) 	<ul style="list-style-type: none"> • Technical survey (prior to construction) done with full consultation of existing water users. 	<ul style="list-style-type: none"> • Consultation with both men and women (household level) • Participation of local Women's Union • Participation of Water Users' Group 	
<ul style="list-style-type: none"> • Social Behavior Change Communication activities (SBCC) 	<ul style="list-style-type: none"> • No adverse impact anticipated 		<ul style="list-style-type: none"> • Adoption of improved nutrition practices introduced through SBCC would be low if follow-up meetings/discussion are not conducted by skill facilitators. • Behavior Change Communication done to raise awareness of nutrition and promote behavior change through BCC activities 	<ul style="list-style-type: none"> • Use of current training materials from IFAD and other projects. • Recruitment of SBCC specialist to support in design of communication plan to ensure effective promotion of behavior change.
RESOURCES				
<ul style="list-style-type: none"> • Recruitment of Specialists/ Consultants 	<ul style="list-style-type: none"> • Slow recruitment process/ limited experiences could affect quality of technical assistance for project 		<ul style="list-style-type: none"> • Recruit high-quality, full-time consultants/ specialists. 	<ul style="list-style-type: none"> • <i>Diffusion of Innovation</i> Specialist • Social Behavior Change Communication specialists for agricultural extension and nutrition). • Gender specialist • Ethnicity Specialist • Social safeguards specialist • Environmental safeguards management specialist • Monitoring and evaluation Specialist

Annex 4 – Recommendations on Enhancing Development Effectiveness

RECOMMENDATION 1 - Agricultural Extension Services

Expected outcome: increased income & gender equality

- ***Use of select extension model that could address sociocultural constraints to promote adoption***

Farmers want to produce crops with higher quality and yield. This helps them gain more profit –through selling their produce to local market, or supplying to wholesale/ miller/ collectors - via farm contract. To improve crop yield and quality, farmers need regular support from high-quality extension service. With limited access to high quality extension service, the adoption rate of a new technology is low. Constraints exist in the technology transfer process – between the farmers - as a technology user, and parties who expect the farmers to use the technology they introduced. Current extension network lack these skills to facilitate the transfer process, leaving obstacles on the part of farmers that slow down the adoption rate. The 5-stage innovation decision process model – by Everett Rogers, is recommended for use to address the sociocultural constraints, thereby promoting the adoption.

- ***Capacity building for a) local facilitators, b) governmental extension services, c) private agribusinesses, based on select crop of the value chain***

Development programs typically focuses on capacity building for government extension network. This focus is very important. However, it is not sufficient to promote the behavior change in farmers who needs to learn new, test new knowledge, convince themselves, trail, and adopt it. Though being expert, government extension network are not always available to farmers – to support the technology transfer process which take time. Capacity building for a local extension networks, who are mainly farmers, local leaders, opinion leaders, are important as these networks are readily available to the farmers, which provide timely support and keep transaction costs related to experience sharing, or peer-to-peer training at the minimum. Project can using existing informal local extension network, namely Village Extension Network, and support this group in terms of capacity.

- ***Packaging technology for easy use by farmers, including ethnic minorities***

New technology needs to be demonstrated in the field to give farmers chance to learn from observation and experience sharing during cropping season, and after the harvest is completed. To reduce the risk of errors, technology should be package – in the form of toolkit that could be easily shared with farmers who prefer simple language rather than complex text that is scientific. Governmental extension, in collaboration with research agencies, can help package technology to make dissemination faster, and make it easy for local extension network to learn, trial, before moving to full adoption. Demonstration site should be set up - to demonstrate the advantage of the packaged technology. Attention should be given also to farmers who could be local opinion leaders and as such can influence adoption decision of the other farmers. These opinion leaders, should be identified, and trained on facilitating skill to enable them to help their community in replicating the technology package tech to wider group of farmers. Strengthening local network also help overcome the limited governmental extension service, which is in line with government's future priorities – that extension staff will play more facilitating role and transfer the new tech. Training of parties who participating in the project as wholesale, millers, collectors should be done as these parties also function as an extension agent disseminating technology, technical requirements to farmers to enable farmers to meet market demand. Technology packaging also allows research agencies to offer their staff greater exposure to the reality of poverty reduction in developing communities, and opportunities to ground-proof their technology.

- **Budget availability**

A small budget should be set up to cover costs of facilitation at local level. Budget availability is important to enabling g farmers to meet more frequently - to interact, learn new things, and experience sharing.

RECOMMENDATION 2 – Targeting and Inclusion

(Expected outcome: reduced poverty, enhanced equality, including gender equality).

- **Inclusion of Poor, Vulnerable, Ethnic Minorities, and Youth**

Targeting describes the efforts taken to focus program resources amongst those most in need. The main objective of targeting is a) deliver more resources to poor population groups and b) ensure those who are eligible to receive benefits are not excluded. For a number of project activities, the poor could be potentially excluded. For example, in contract farming, contracting firms generally favor contracts with larger farms and tend to bypass smaller producers who lack production and business skills. Depending on the nature of project activities, eligibility should be developed for target groups for each project activity. This ensures activities are implemented less possibility of exclusion of the poor, vulnerables, and ethnic minorities.

Also, for each group (poor, ethnic minorities, rice farmers, maize farmers), young people (youth) of each of these groups should be encouraged to actively take part in project activities. There has been a migration of young peoples from rural to urban in search for jobs, leaving a labor shortage that affect agricultural production. As a strategic direction for Laos PDR, plan should be developed with project stakeholders, including mass organization such as Women's Union, Farmers Union, to maintain the labor force to foster agricultural production and commercialization – as a long-term objective. Crop diversification should be encouraged among youth as this take their advantage of being healthy, innovative, hard-working to become successful in their household farming.

- **Long-term plan to allow changes to take place.**

For poor farmers, and ethnic minority people, concrete plan should be made for a particular target group in a commune, for instance, to foster year-long support, to support them in successfully adopting improved varieties, farming techniques to enable them to become qualified for a productive partnership. The training program for the poor, vulnerable needs to be phrased to allow the change process (which time consuming) to take place. Farmers should be informed of the entire process (such as training, reflection, trialing, experimenting, and adopting) so that they could become an active player in the adoption process. Innovative farmers, and opinion leaders should be invited to support the project as a role model so farmers in community to follow. If the program target only ethnic minorities, the training program could be phased in an EGDP and consultation with ethnic minorities should be done regularly to ensure the constraints that the face during the adoption process should be effectively solved.

RECOMMENDATION 3 – Consultation, Participation and Ownership

Expected outcome: enhanced capacity building and development effectiveness

Consultation contributes an important part to project design, implementation, monitoring and evaluation. For World Bank financed project, consultation is required - not only at project preparation, but also during project implementation when detailed designs of subprojects and project activities are available to allow meaningful feedback from project stakeholders. Meaningful consultation can lead to effective participation of project stakeholders, their ownership of the project activities and project's outcomes. (See what makes a consultation meaningful at Annex 8).

Participations refers to that of all project stakeholders. For the Bank, Government's stand on stakeholders' participation is very important. Depending on the venue, time, ethnic groups, purpose of meeting, participation should be facilitated by skilled facilitators - to encourage meaningful feedback from participants. The more participatory the target groups are, the more effective the planning and implementation of the project activities are and effective participation of stakeholders and their feedback indicate the demand which are important to informing the design of intervention methods that are specific for various project activities.

Ownership of project is expected as output that results from good consultation and participation. When project stakeholders actively take part in project planning and implementation, they develop an attitude of accountability for the results of the project. This attitude is important to develop as it pave way to the actions they do towards achieving the intended results. Consultation, Participation and Ownership should be promoted at all project activity level since this is the ideal entry point for effective consultation. When good consultation, participation and ownership is fostered with all project activities, project's development effectiveness is enhanced as an outcome. Capacity of people involved in the activities with good consultation, participation, and ownership also developed. Thus, it is apparent capacity development and project outcomes are the dual outcomes of good consultation, participation, and ownership process.

RECOMMENDATION 4 – Subsistence-based Production to Commercialization

(Expected impact: Increased commercialization through achievement of outcomes under Recommendation 1,2 and 3).

Certain hurdles exist as project makes effort of shifting from a subsistence-based farming practices to a commercialized farming model. This is challenging among the target groups in both upland and lowland areas. In addition to technical constraints identified in literatures for Laos PDR (such as limited access to new varieties, reliable irrigation, technologies, climate related risks, shortage of labor, market information, migration), there are other sociocultural factors that are inherent to the target groups of the project which could potentially affect the commercialization pace.

In the scenario of with-out project, these sociocultural characteristics, such as high stock of social capitals (indicative of closely connected social network, high level of mutual aid, and trust) manifested in current traditional farming practices are valuable assets that fundamental to the resilience capacity of local people in the event of natural disasters, food shortage, economic shocks, etc.

In the scenario of with-project, these sociocultural advantages, coupled with a current low demand for commercialization and limited capacity on the part of the target groups, appear as potential constraints that slow the commercialization pace if well designed interventions strategy are not in place in early stage of project implementation. While the local capacity development could be addressed under the project – through project activities –which is project driven), the ability to respond to project activities to assure development effectiveness needs to be also driven by the target group - through their active participation and ownership, which is driven by their demand for improved household economic status.

At household level, there are various innovative activities that could be implemented to engage the target groups in project activities, and thereby enhancing their demand for economic improvement by increasing their participation for improved knowledge, behavior change, farming practices, and improved livelihoods. However, at community level, it is important to engage target group in activities in a way that enable them to access success stories, good business cases, individual role model (businesspersons) that are beyond their community – in other provinces or even in neighboring countries.

A business forum where local business could come to project provinces to interact with local government and farming workforce to express the demand of two sides is one innovative way

to expose the local farmers to the market. This is one of the key constraint that farmers repeatedly mentioned during the consultation that undermine both their contract farming and also farmers who supply their produce to the local markets. Farmers are rational. Once the opportunities for improved livelihoods are clear and realizable under the project support, local peoples would be committed to their learning, participating to improve their farm production.

It is anticipated once farmers are committed to farming in their locality, the out-migration of young people in search for jobs in urban area (which is one of the main reasons for shortage of labor in rural area) would be lessened.

While Recommendations 1,2 and 3 are straightforward (that could be developed further into intervention methods and reflected in Project Operations Manual), Recommendation 4 should be further elaborated to become a consistent intervention approach integrating Recommendations 1, 2 and 3 – to promote the participation and ownership of local people, and eventually the achievement of the project objective.

RECOMMENDATION 5 – Nutrition

Expected impact: improved nutrition as a result of achievement of Recommendation 1,2,3,4 and 5.

Proposed project activities will be carried out in a phased manner to ensure that implementation arrangements build on the findings from the baseline and study on balancing commercialization and nutrition. As this is an agriculture project for nutrition, it is important to integrate nutrition considerations throughout implementation.

- **Step 1: Evaluating the impact of the project on nutrition** is of crucial importance to contribute to a growing evidence base for Laos on balancing commercialization with nutrition- leveraging opportunities and mitigating risks. This evaluation will include a rigorous baseline, mid-term and end line survey to identify nutrient gaps, sources of food, time/work burden, dietary habits and knowledge. These findings can be triangulated and cross-checked with the Lao Social Indicator Survey, which should be conducted 2017/18, with the subsequent one to be administered towards the end of the project period. Findings will inform the design of project activities, assuming that the budget allocation for activities can be kept flexible.
- **Step 2: Study on how to balance commercialization/farming system transition and nutrition:** Commercialization presents opportunities as well as some risks for farmers. It is important to identify current sources of food in target villages and women's work burden and decision-making power associated with the selected value chains (rice, maize and vegetables) and intended shifts in the farming system. Current farming practices and potential benefits of crop diversification/integrated cropping systems will be identified including for example maize-legume, rice-fish (see description above), vegetable-rice, and fruit trees. Most importantly, the study will identify a number of champions to promote dietary diversity through supply or demand-side channels. Such a study can be facilitated by DAEC and NAFRI (with TA support) but should focus on supporting farmers to analyze their nutrition situation and identify opportunities for improving dietary diversity through regional farming systems. Such a study will help shape packages of promoted GAPs, formation of PO's, value chain and extension support, and capacity strengthening of government staff.
- **Step 3: GAP extension training: support nutrition-sensitive crop diversification for dietary diversity:** Based on opportunities and risks identified in the commercialization-nutrition study, support target villages to preserve, revive or introduce cropping practices that enhance access and availability to nutrient-dense foods, otherwise lacking or disappearing the area. Such activities may include support to advisory services to incorporate these messages into their outreach programs, as linked with the project intervention. Other examples may include reviving fish ponds, planting fruit trees, adding value to high-value 'secondary crops' through small-scale processing- especially for women, and promoting the value of these local products for nutrition (e.g. for complementary

feeding) through the development and dissemination of audio-visual materials. Some supporting modules and materials have already been developed under the HGNDP and Agriculture for Nutrition (GAFSP) project on the promotion of dietary diversity, hygiene, and care as linked with agriculture. Based on a short capacity assessment (supported by TA), facilitate problem tree analysis, share lessons, identify roles and responsibilities, especially up to and beyond farm-gate.

- **Step 4: Nutrition social behavior change communication (SBCC) for farmers/consumers.** As indicated above, individual dietary and care practices are not exclusively shaped by what is available and accessible but also based on preferences, norms and values. To leverage the positive impact of increasing incomes on nutrition, the project will work with an implementing partner (under TA) to facilitate village-level improvements on (i) preserving underutilized/neglected foods, processing for improved year-long accessibility and value addition of nutrient-dense foods, and (ii) encouraging improved care practices and dietary diversity through (interactive) behavior change communication and social marketing. Instead of focusing on the most vulnerable, the project will work with 'key influencers' or change agents that can help encourage both supply and demand-side improvements. Some materials that can be expanded upon include 10 nutrition modules and complementary audio-visual materials from the GAFSP/HGNDP on IYCF, WASH, food preservation, cooking demonstrations, and use of underutilized foods.

[illegible]

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 ပဲ။ ဒါပေမယ့် အသံသရာကလေးတွေကို တွေ့ရတာကလေး
 နဲ့တူပဲပဲ။ အသံသရာကလေးတွေကို တွေ့ရတာကလေး

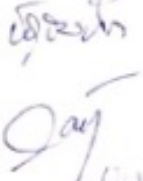
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ກະຊວງກະສິກໍາ ແລະ ບ້ານໄມ້
ກົມແຜນການ ແລະ ການຄ່ວມມື
ໂຄງການພະລັກກະສິກໍາບັນເທີມຄົນ (LACP)

ໃບລົງທະບຽນ

ກອງປະຊຸມປຶກສາຫາລື ກ່ຽວກັບ ການປະເມີນຄວາມປອດໄພ ທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ
ສ່ວນກົມຊ່ວຍເຫຼືອກະສິກອນ, ກຸ່ມຊົນເຜົ່າ ຈັດຂຶ້ນໃນວັນທີ 08 ກັນຍາ 2017, ທີ່ບ້ານທາດ ຫຼື ຕອນ ລາຍເມືອງຊຽງຄອນ, ແຂວງໄຊຍະບູລີ

ລ/ດ No	ຊື່ ແລະ ນາມສະກຸນ Name and Surname	ຕຳແໜ່ງ Position	ອົງການ Organization	ເບີໂທ Call Phone	ຢູ່ Y	ມາດຕະຖານ M	ສະ S	ລາຍເຊັນ Signature
1	ທ. ຄຳ ພັກ ພົມມະວົງ							
2	ທ. ພົມມະ							
3	ທ. ພົມມະ ພົມມະວົງ				✓			
4	ທ. ພົມມະ ພົມມະວົງ			55724514	✓			
5	ທ. ພົມມະ			59946664	✓			
6	ທ. ພົມມະ				✓			
7	ທ. ພົມມະ			54129231	✓			
8	ທ. ພົມມະ ພົມມະວົງ				✓			



ສາທາລະນະລັດ ປະຊາທິປະໄຕ ປະຊາຊົນລາວ
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ກະຊວງກະສິກໍາ ແລະ ບ້ານໄມ້
ກົມແຜນການ ແລະ ການຄ່ວມມື
ໂຄງການພະລັກກະສິກໍາບັນເທີມຄົນ (LACP)

ໃບລົງທະບຽນ

ກອງປະຊຸມປຶກສາຫາລື ກ່ຽວກັບ ການປະເມີນຄວາມປອດໄພ ທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ
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1	ທ. ພົມມະ ພົມມະວົງ	ອ. ພ. ພ. ພ.	ອ. ພ. ພ.	55977154	✓			
2	ທ. ພົມມະ ພົມມະວົງ	ອ. ພ. ພ. ພ.	ອ. ພ. ພ.	55892323	✓			
3	ທ. ພົມມະ ພົມມະວົງ	ອ. ພ. ພ. ພ.	ອ. ພ. ພ.	55947444	✓			
4	ທ. ພົມມະ ພົມມະວົງ	ອ. ພ. ພ. ພ.	ອ. ພ. ພ.	55190151	✓			
5	ທ. ພົມມະ ພົມມະວົງ	ອ. ພ. ພ. ພ.	ອ. ພ. ພ.		✓			
6	ທ. ພົມມະ ພົມມະວົງ	ອ. ພ. ພ. ພ.	ອ. ພ. ພ.		✓			
7	ທ. ພົມມະ ພົມມະວົງ	ອ. ພ. ພ. ພ.	ອ. ພ. ພ.		✓			
8	ທ. ພົມມະ ພົມມະວົງ	ອ. ພ. ພ. ພ.	ອ. ພ. ພ.		✓			



ສາທາລະນະລັດ ປະຊາທິປະໄຕ ປະຊາຊົນລາວ

ສັນຕິພາບ ເອກະລາດ ປະຊາທິປະໄຕ ເອກະພາບ ວັດທະນະຖາວອນ

ກະຊວງກະສິກໍາ ແລະ ປ່າໄມ້

ກົມແຜນການ ແລະ ການຄວມມີ

ໂຄງການລະດັບກະສິກໍາເປັນສິນຄ້າຖິ້ງ ສປປ ລາວ (LACP)

ໃບສັງເກດບັນຍາຍ

ກອງປະຊຸມປຶກສາຫາລື ກ່ຽວກັບ ການປະເມີນຄວາມປອດໄພ ທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສິ່ງມຶມ

ຄວມກ້າຍກຸ່ມຊາວກະສິກອນ, ກຸ່ມຊົນເຜົ່າ ຈຳນວນໃນວັນທີ 08 ກັນຍາ 2017, ທີ່ບ້ານພາດ ຫຼື ຕອນ ວັນເມືອງຫຼວງສອນ, ແຂວງໄຊຍະບູລີ

ລ/ດ No	ຊື່ ແລະ ນາມສະກຸນ Name and Surname	ຕຳແໜ່ງ Position	ອົງການ Organization	ເບີໂທ Call Phone	ລາວລຸ່ມ	ລາວສູງ	ຂໍ້ຢືນ	ລາຍເຊັນ Signature
1	ພໍ່ເກ ຄົນ 11 ອງ.	ປ/ປ			✓			ພໍ່ເກ
2	ທ. ຄົນ 11 ອງ.	-//			✓			ທ.
3	ທ. ຄົນ 11 ອງ.	-//			✓			ທ.
4	ທ. ຄົນ 11 ອງ.	-//			✓			ທ.
5	ພໍ່ ຄົນ 11 ອງ.	-//			✓			ພໍ່
6	ພໍ່ ຄົນ 11 ອງ.	-//			✓			ພໍ່
7	ພໍ່ ຄົນ 11 ອງ.	-//			✓			ພໍ່
8	ພໍ່ ຄົນ 11 ອງ.	-//			✓			ພໍ່



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ສັນຕິພາບ ເອກະລາດ ປະຊາທິປະໄຕ ເອກະພາບ ວັດທະນະຖາວອນ

ກະຊວງກະສິກໍາ ແລະ ປ່າໄມ້

ກົມແຜນການ ແລະ ການຄວມມີ

ໂຄງການລະດັບກະສິກໍາເປັນສິນຄ້າຖິ້ງ ສປປ ລາວ (LACP)

ໃບສັງເກດບັນຍາຍ

ກອງປະຊຸມປຶກສາຫາລື ກ່ຽວກັບ ການປະເມີນຄວາມປອດໄພ ທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສິ່ງມຶມ

ຄວມກ້າຍກຸ່ມຊາວກະສິກອນ, ກຸ່ມຊົນເຜົ່າ ຈຳນວນໃນວັນທີ 08 ກັນຍາ 2017, ທີ່ບ້ານພາດ ຫຼື ຕອນ ວັນເມືອງຫຼວງສອນ, ແຂວງໄຊຍະບູລີ

ລ/ດ No	ຊື່ ແລະ ນາມສະກຸນ Name and Surname	ຕຳແໜ່ງ Position	ອົງການ Organization	ເບີໂທ Call Phone	ລາວລຸ່ມ	ລາວສູງ	ຂໍ້ຢືນ	ລາຍເຊັນ Signature
1	ທ. ຄົນ 11 ອງ.				✓			ທ.
2	ທ. ຄົນ 11 ອງ.				✓			ທ.
3	ທ. ຄົນ 11 ອງ.				✓			ທ.
4	ທ. ຄົນ 11 ອງ.				✓			ທ.
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ສາທາລະນະລັດ ປະຊາທິປະໄຕ ປະຊາຊົນລາວ

ສັນຕິພາບ ເອກະລາດ ປະຊາທິປະໄຕ ເອກະພາບ ວັດທະນະຖາວອນ

ກະຊວງກະສິກໍາ ແລະ ປ່າໄມ້

ກົມແຜນການ ແລະ ການຄວມມີ

ໂຄງການລະດັບກະສິກໍາເປັນສິນຄ້າຖິ້ງ ສປປ ລາວ (LACP)

ໃບສັງເກດບັນຍາຍ

ກອງປະຊຸມປຶກສາຫາລື ກ່ຽວກັບ ການປະເມີນຄວາມປອດໄພ ທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສິ່ງມຶມ

ຄວມກ້າຍກຸ່ມຊາວກະສິກອນ, ກຸ່ມຊົນເຜົ່າ ຈຳນວນໃນວັນທີ 08 ກັນຍາ 2017, ທີ່ບ້ານພາດ ຫຼື ຕອນ ວັນເມືອງຫຼວງສອນ, ແຂວງໄຊຍະບູລີ

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1	ທ. ຄົນ 11 ອງ.	ປ/ປ	ປອດພາບ	54744448	✓			ທ.
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સંડ લેખાલ જોના: ૧૭૮ ઈ. શ. ૧૧૧૭ જોના: ૧૭૮ ઈ. શ. ૧૧૧૭

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સંડ લેખાલ જો:પાલ ઇ.શી ૧-૭૩ જો:ખાલ ૧૦૫:૫૫૫૫

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- ວັນທີ: 6.9.2017
- ເວລາ: 8:30 - 12:00
- ສະຖານທີ່: ບ້ານ ຫົວ ຂາ ເມືອງ ບໍ່ ນິ ຄົມ 11 ລະ ບໍ່ ນິ ຄົມ 11 ລະ.
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- ວັນທີ: 6.9.2017
- ເວລາ: 8:30 - 12:00
- ສະຖານທີ່: ບ້ານ ຫົວ ຂາ ເມືອງ ບໍ່ ນິ ຄົມ 11 ລະ ບໍ່ ນິ ຄົມ 11 ລະ.
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- ວັນທີ: 6.9.2017
- ເວລາ: 8:30 - 12:00
- ສະຖານທີ່: ບ້ານ ຫົວ ຂາ ເມືອງ ບໍ່ ນິ ຄົມ 11 ລະ ບໍ່ ນິ ຄົມ 11 ລະ.
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ANNEX 6: RESULTS OF THE PUBLIC CONSULTATION ON DECEMBER 6, 2017

MINISTRY OF AGRICULTURE AND FORESTRY
DEPARTMENT OF PLANNING AND FINANCE
THE WORLD BANK - IDA

LAO AGRICULTURE COMPETITIVENESS PROJECT
LACP - P161473

Environmental and Social Safeguards
Dissemination and Consultation at Provincial level-
Vang Vieng- December the 6th 2017

WORKSHOP REPORT

I. EXECUTIVE SUMMARY

The Department of Planning and Finance (DoPF) of the Ministry of Agriculture and Forestry (MAF) hosted the safeguard documents consultation workshop for the Lao Agriculture Competitiveness Project (LACP) on the 6th and 7th December 2017 in Vang Vieng District, Vientiane Province. The purpose of this workshop was to disseminate the project Environmental and Social Safeguards and to engage in an interactive discussion where project stakeholders at provincial level could discuss the expected project impacts and the mitigation measures outlined in the ESMF (Environmental and Social Management Framework), CRPF (Compensation and Resettlement Plan Framework) and EGEF (Ethnic Groups Engagement Framework).

This report contains detailed information that was presented to participants, summarizes workshop discussions and comments made by participants and outlines next steps as agreed upon by workshop participants.

II. SECTION 1: WORKSHOP OVERVIEW

9.1 BACKGROUND

The Lao Agriculture Competitiveness Project Development Objective (PDO) is to increase competitiveness of selected agricultural value chains in the project areas. The project's Executive Agency is the Ministry of Agriculture and Forestry, with its Department of Planning and Finance as the main implementing agency. Other implementation partners include technical departments in MAF as well as in Ministry of Industry and Commerce. At provincial level, the department of Agriculture and Forestry (PAFO) will implement project activities in the five following provinces: Khammouane, Bolikhamxay, Xayabury, Vientiane province, and Vientiane Capital. The project implementation timeframe is tentatively from March 2018 to end of 2023. As described in the Draft Project Appraisal Document, the project will have three components:

Component A: Improved Agricultural Efficiency and Sustainability (est. US\$ 18.2 million, of which International Development Association (IDA) would finance around US\$ 16.3 million). This component will support: (a) the increased adoption of improved varieties and high quality seeds, (b) the increased application of good agricultural practices, (c) the provision of critical productive infrastructure, and (d) the strengthening of public services delivery.

Component B - Enhanced Agricultural Commercialization (est. US\$ 7.2 million, of which IDA would finance around US\$ 4.8 million). The project will support: (a) establishing an Agriculture Value Chain Facility (AVCF), (b) measures to better link farmers to markets, and (c) studies to improve the enabling environment for agro-enterprise and value chain development.

Component C - Project Management (est. US\$ 2.9 million, of which IDA would finance US\$ 2.9 million). The component will support (a) project management; and (b) monitoring and evaluation. One million of the IDA Credit will be used for repayment of the Project Preparation Advance made by the World Bank.

Total financing under the project will be USD 29.3 million of which about US\$17 million will go towards supporting to agribusiness and farmer organizations under the form of matching grants and infrastructure improvement.

At the pre-appraisal stage in November 2017, the project draft Environmental and Social management Framework (ESMF), the Resettlement and Compensation Policy Framework (CRPF), and the Ethnic Groups Engagement Framework (EGEF) had been finalized and it was agreed to proceed with dissemination and consultations at provincial level before the appraisal mission planned for mid-December 2017.

9.2 OBJECTIVES OF THE WORKSHOP

On December 6th 2017, LACP stakeholders gathered to participate in the ESMF consultation workshop organized in Vang Vieng District, Vientiane Province. The objectives of the workshop were as follow:

- To inform the workshop participants of the progress of the LACP preparation process.
- To disseminate the contents of the ESM, CRPF and EGEF to provide detailed explanation on the laws and policies as well as project impacts and mitigation measures.
- To record project stakeholders' comments and observations on the safeguards documents and to address questions and bring clarification on arrangements for implementation and monitoring of environmental and social safeguards.
- To prepare for the next round of consultations at district and community levels, in particular in identifying focal points for environmental and social safeguards monitoring at provincial level.

Throughout the workshop, participants were asked to think critically about the project potential impacts and adequate mitigation measures including subproject screening process, compensation procedure, grievance redress mechanisms and monitoring arrangements.

The workshop expected outcome are (i) project stakeholders at provincial level and relevant ministries have a common understanding of the content of the ESMF, CRPF, and EGEF, (ii) their views and opinions have been recorded (iii) their comments and questions have been addressed (iv) project stakeholders have a clear understanding of the next steps in the project preparation process, including further consultations of the environmental and social safeguards at district and community levels.

9.3 PARTICIPANTS

The workshop participants totaled 42 persons. The workshop was chaired by Mr Phouthone Siriphanthong Deputy Director of Operation and Maintenance (O&M) Division, Department of Irrigation (DoI) Ministry of Agriculture & Forestry (MAF) in quality of coordinator for the LACP preparation. Representatives from the following organizations and agencies were present: Ministry of Agriculture and Forestry, Ministry of Finance, Ministry of Industry and Commerce, NAFRI, Department of Planning and Finance (DoPF), Department of Agricultural Land Management, Department of Agriculture (DALAM), Department of Agricultural Extension and Cooperatives (DAEC), the World Bank, PPT environmental and social safeguards specialists, the international senior technical specialist, as well as representatives from all 5 Provincial Natural Resources and Environment departments (PoNRE) and all 5 provincial Agriculture and Forestry departments (PAFO) and their technical divisions.

9.4 WORKSHOP MATERIALS

Several documents were developed to conduct the workshop:

- **Workshop Agenda:** The workshop agenda is included in Appendix A.
- **Participant List:** A list of all workshop participants is included in Appendix B.
- **Workshop Presentation and Handouts:** The workshop presentations provided detailed information on the projects expected and potential impacts, and the avoidance and mitigation measures proposed to prevent, address or minimize those impacts.

The presentation made the project Social Safeguards Specialist, Mr Bounhome Phothimath, included the following aspects:

- World Bank's Environmental and Social Safeguards Policies
- Gap analysis, OP/BP 4.12 & Lao PDR Decree No. 84, 2016
- Involuntary Resettlement (OP 4.12) Policy objectives and principles
- OP/BP 4.10 Indigenous People (Ethnic Groups/People)
- Compensation and Resettlement Policy Framework contents (CRPF)
- Description of the project's social impacts
- Mitigation Measures
- Rationale for CRPF preparation
- Displaced Person (DPs) eligibility criteria
- Asset valuation methodology
- Implementation Arrangement for CRPF
- Entitlement matrix

- Grievance redress mechanisms
- Information disclosure, public consultation and participation
- Informing and consulting DPs
- Internal and External Monitoring arrangements, evaluation arrangements and budget

The presentation made the project Environmental Safeguards Specialist, Dr Keoduangchai Keokhamphui, included the following aspects:

- Project overview and components
- project provinces and proposed activities
- Legal frameworks and applicable world bank safeguard policies
- Safeguards instruments applicable for small scale infrastructure activities (ESMF & ECOP)
- Existing environmental issues
- Potential environmental impacts
- Mitigation measures
- Good Agricultural Practices (GAP), Integrated pest management (IPM) and Pest Management Plan (PMP)
- Principles and procedures to mitigate risks
- Implementation arrangements
- Monitoring and Evaluation
- Capacity building
- Timeframe for further consultation, information disclosure and capacity building (trainings)

The English version of both presentations above is included in separate files. A version in Lao Language was used during the workshop and handouts were distributed to all participants.

III. SECTION 2: WORKSHOP DISCUSSIONS

Discussions were conducted in plenary sessions moderated by the meeting chairman, Mr Phouthone Siriphanthong, LACP Project Preparation coordinator.

Overall, representatives from Ministries and provincial departments made positive comments about the content of the presentations including the ESMF as well as other environmental and social safeguards presented by the PPT specialist. Comments, questions and observations made during the plenary sessions are summarized below as recorded during the workshop.

Morning session comments:

- PoNRE representative from Bolikhamxay Province appreciated the presentations contents and acknowledged that the World Bank safeguards requirements are broadly in line with the national regulations and in particular the Decree 84 on Compensation and Resettlement of People Affected by Development Project issued on 5th April 2016. As explained, voluntary contribution donation of minor strips of residential land will only be allowed by the project provided that the following criteria are strictly complied with: (i) the land lost is less than 10% of the PAP's total residential land area; (ii) if the PAP/PAH's total residential land area is more than 10%, and there are no houses, structures or fixed assets on the affected portion of land (iii) Donating households should be direct project beneficiaries. Voluntary donation according to these criteria will follow the process in accordance with World Bank's Operational Policy, which is largely in line with the Government's Decree 84/PM/2016.
- The safeguards provide a framework for addressing impacts at the subproject / activity level. When those interventions are better defined, detailed appraisal will allow to define the project environmental category (A, B or C) based on which an Initial Environmental Examination or an Environmental Impact Assessment will be conducted. Environmental impacts involve many technical aspects (e.g. chemicals) and the line agencies are responsible in mobilizing expertise in those fields to ensure adequate management measures to reduce and mitigate identified risks.
- The representative from the Ministry of Finance expressed her gratitude for the opportunity to participate in the workshop. Previous donors' funded projects faced challenges at implementation stage because costs related to monitoring were not adequately allocated in the project budget. It should be clear whether operation costs for PoNRE and DoNRE staff for environmental monitoring will be covered under the IDA loan or should be covered by provincial

budget. In the latter case, corresponding allocations should be made ahead in the provincial annual budget plan.

- PoNRE representative from Xayabouly Province thanked the PPT specialist for their comprehensive presentations in which project potential impacts have been adequately identified. Sustainable development is a priority of the Government of Lao PDR at central level as well as at Provincial and District levels. Many stakeholders are to take part to that effort. For example, water resources are an important aspect in terms of both water availability and efficient use of water for agriculture through irrigation systems. Therefore, technical line agencies are to be involved in screening risks and negative impacts to provide appropriate technical solutions and options (such as sprinkler or drip irrigation for example) Detailed assessments are to be conducted at subproject level. District level line agencies are responsible for assessment of smaller activities, while the provincial level agencies are in charge of assessment of larger interventions. PoNRE has relatively limited personnel and technical capacity to undertake all screening and assessments on its own. The mandate of PoNRE is to provide monitoring, control and clearance. Budget for PoNRE/ DoNRE staff should be available at each step of subproject implementation from identification, survey and design, construction, to operation, including the compensation measures if any.
- PoNRE representative from Vientiane Province (Mr Bouaphan) agreed with the project approach and principles. All impacts have been well identified and adequate measures have been designed in the framework. Under the GoL leadership, each province has been preparing an Integrated Environmental Management Plan (IEMP) in coordination with agencies from all relevant sectors (PICO, PAFO, etc.). PoNRE provided a coordination support role in that process. These IEMP contain valuable lessons and sharing experience among the 5 provinces should be promoted.
- As explained in the slides related to the Principles and procedures to mitigate impacts, screening, assessment, review, and clearance process should be completed before execution of the physical activities, in particular for small scale infrastructures such as construction of seed storage facilities, value added processing facilities and rehabilitation of existing irrigation schemes. Environmental classification will depend on the characteristics of each sub-project. It is important to focus on risk prevention at planning stage. PoNRE in Vientiane Province receive complaints on environmental damage at implementation stage (for example in industrial large scale plantation: rubber, banana). This is because the environmental management plans are not properly implemented by private developers. It is crucial to ensure that monitoring mandates and budget are clarified before project implementation starts.
- PoNRE representative from Vientiane Capital agreed with the presentation contents and the project preparation process which involved many stakeholders at early stage. Impacts related to land use are an important issue. In Vientiane Capital land is the main natural resource, unlike other provinces where natural resources include forest, mines, hydropower, etc. In that respect, agricultural land in Vientiane capital is threatened by expansion of non-agricultural land use such as residential and industrial or other public infrastructure such as roads. Irrigation canal that are no longer used are still under PAFO management responsibility. Therefore, when surveying and designing rehabilitation of canals, PAFO as the project implementation agency should ensure agricultural land is adequately protected from land use changes and that the rehabilitated canals will be used.
- In each technical department and line agencies, there are dedicated technical staff in charge of environmental management. The key mandate of PoNRE is related to environmental factors such as land, water, air and noise. PAFO remains responsible for pollution risks related to the use of agricultural chemicals. Environmental screening, assessment and monitoring is crucial from the early stage of the project to ensure efficiency of investments.
- Representative from PoNRE Bolikhamxay agreed that screening will require cooperation between line agencies and technical staff from relevant departments. PoNRE has observed that Environmental Management Plan on development projects are well prepared but are not implemented. PoNRE is required to intervene only when problem arise such as pollution of waterways. Some negative impacts can be mitigated afterwards, but most of the impacts can be managed and prevented. Therefore, cooperation between technical departments is crucial from early stage on.
- Representative from PoNRE Khammouane province supports the plans and frameworks presented by the PPT specialists. It is detailed to support project approval in compliance with national regulations and World Bank requirements. At implementation stage, budget should be allocated for screening, assessment and monitoring. Some of the proposed activities such as

GAP can both prevent negative impacts on the environment and facilitate access to market for farmers. On social aspects, complaint policies and procedures have already been approved at provincial level for previous World Bank funded projects. Those procedures are still valid and are implemented.

- The social safeguards specialist reminded the workshop attendance that based on existing laws and regulations, PoNRE can only review and approve IEE or EIA, but cannot be involved in preparing such documents. IEE or EIAs should be prepared by specialized consulting companies.
- Representative from PoNRE Khammouane province explained that all investment projects both public and private are subject to environmental screening and IEE or EIA process. In some cases, sufficient resources were not allocated to conduct environmental assessments.

Afternoon session comments:

- Representative from PAFO Khammouane province shared experience in previous projects. Recruiting a consulting company to conduct IEE or EIAs is time consuming and can create implementation delays. Therefore, this issue should be addressed before the project implementation starts and adequate budget resources should be allocated to hire a company and for PoNRE to review the IEE or EIA reports. Potential impacts identified in the ESMF are relatively limited if compared to impacts from a hydropower project for instance. Further collaboration between the project implementation agency, PAFOs and PoNREs should help in deciding the best approach and assessment methodology.
- The environmental safeguards specialist proposed to appoint coordinators for environmental and social monitoring of project activities at DAFO and PAFO levels. A set of criteria were presented to the workshop participants for discussion
- The PAFO representative from Vientiane Province explained that as mentioned during the pre-appraisal mission on 17th November 2017, the PAFOs will need a formal notice from the MAF to inform the provincial authorities that the project has been approved for implementation. This formal notice will serve as reference to establish a project management committee at provincial level with adequate focal points and technical staff in each of the relevant departments and divisions. At that stage, the province will appoint the coordinators for environmental and social monitoring at PAFO and DAFO levels, as well as PoNRE and DoNRE levels.
- Representatives from the Ministry of Finance and the World Bank also agreed that a formal notice will be sent to the provincial level when the project financing agreement is formally approved. Other workshop participants agreed and also highlighted that the project institutional structure include steering committees at central and provincial level as well as project management committees.

9.5 OTHER ASPECTS

The Project preparation team took the opportunity of the workshop meeting to highlight the progress in the project preparation so far and to highlight key aspects for consideration by provincial level implementing agencies representatives of PAFO.

Project preparation progress so far includes: (i) pending comments from the Regional Safeguards Secretariat (RSS) on the dam safety measures proposed at pre-appraisal on November 17th 2017 (ii) compliance with requirements for procurement (PPSD, procurement plan) and financial management (recruitment of financial management specialist, preparation of ToR for auditors, and accountants) (iii) preparation of the PPT workplan for December 2017 to March 2018

The cost tables for provincial level was reviewed and key budget lines were brought to the attention of the PAFO representatives namely: (i) training need assessment (ii) Terms of reference for technical assistants (5 positions) to be mobilized at provincial level (iii) detailed plans for infrastructures for seed processing and extension are yet to be defined (iv) pre-selection of a 1st batch of irrigation schemes for rehabilitation.

Other elements were also discussed such as: (i) Panel of Expert mobilization for the assessment of Dam Safety in compliance of the World Bank OP 4.37 (ii) baseline study of the project (iii) survey and design of a 1st batch of irrigation schemes.

The meeting agreed that those aspects will be discussed during the appraisal mission planned for December 12-15th 2017.

The representative from DoPF, Mr Somphathay Liengsone suggested that appointing focal points for environmental and social safeguards is a priority to facilitate the upcoming further consultations at district and community level, encouraging the provincial agencies to take action in anticipation to the formal notice from the Ministry level. Regarding the proposed baseline study, it is premature at this stage as the project logframe and monitoring indicators are yet to be defined. Terms of reference for provincial level TAs should be prepared in coordination with the provincial stakeholders. The PPT will prepare the project operation manual (POM) in the coming weeks. Dam safety review is still pending comment from the regional safeguard secretariat.

The workshop was closed with a conclusion remark by the chairman, Mr Phouthone Siriphanthong, reminding the participants of the next steps for dissemination and consultations on the environmental and social safeguards as well as other project preparation activities. The PAFO representatives were reminded of the upcoming appraisal mission planned for December 12th to 15th 2017.

IV. SECTION 3: NEXT STEPS AND ACTION PLANNING

After discussing the project environmental and social impacts and mitigation measures as well as implementation and monitoring arrangements, the workshop participants discussed appropriate implementation steps and other relevant follow-up activities to be conducted after the workshop.

- Further consultations and dissemination will be conducted at district and community level in the coming months
- The workshop participants will inform the relevant stakeholders in their respective province of the information exchanged and decision made during the workshop. Hand- Outs of the presentation were provided in hard copy to all participants
- The project executing and implementing agencies will clarify budget allocation for screening of subprojects and environmental and social monitoring
- Additional project preparation activities will include: (i) drafting of terms of reference for technical assistants at provincial level (ii) assessment of training needs in line with cost tables budget allocation (iii) preliminary plans for infrastructures for seed processing and extension (iii) pre-selection of the 1st batch of irrigation schemes to be rehabilitated in the first year of the project
- The PAFO representatives are expected to participate in the upcoming appraisal mission from 12 to 15 December 2017

V. SECTION 4: LESSONS LEARNED AND CONCLUSION

The workshop was the first occasion for representatives from PoNREs to learn about LACP activities and implementation modalities. They expressed their agreement with the identified impacts and the proposed mitigation measures.

The workshop led to a general consensus that PoNRE and DoNRE should be involved at the early stage of the project implementation to ensure that environmental and social assessment at sub-project levels are addressed adequately in line with national regulations and World Bank requirements.

- The participants agreed that impacts from the project will be overall positive. Potential negative impacts are envisaged to be minor: limited, localized, manageable and reversible.
- The participants agreed to use the provincial Integrated Environmental Management Plan prepared at provincial level under the coordination of PoNRE. In some provinces, the IEMP have been finalized and are to be shared with provinces still in the process of consultations and drafting. These plans can help in implementing appropriate mitigation measures for project impacts.
- Procedures for recording and processing complaints and Grievance redress mechanisms have been approved by provincial authorities and are already implemented in Bolikhamxay and Khammouane Provinces. Exchange of experience with other provinces can support harmonized procedure and mechanisms in compliance with national regulations and World Bank requirements.

- Cooperation between line agency departments is important to ensure that technical expertise is mobilized to support environmental and social monitoring of the subprojects. This cooperation should be initiated at the initial stage of the project and adequate budget resources should be allocated.
- To conduct environmental and social screening and assessment of subproject, a consulting company should be hired. PoNRE role is to review the IEE or EIA reports, to issue a clearance certificate and to ensure proper monitoring of the implementation of the environmental and social management plan, mitigation and compensation measures if any.
- The appointment of focal person for environmental monitoring at PAFO/DAFO and PoNRE/DoNRE will be formalized by provincial authorities when the project financing is officially approved. In the meantime, provincial agencies are expected to anticipate and identify key technical personnel to facilitate the next stages of consultations at district and community levels, as well as the upcoming trainings.

WORKSHOP AGENDA

timing	topic	person in charge
08:00 – 08:30	– registration	all participants
08:30– 09:00	– opening remark	DoPF
09:00 – 10:00	– Summary of project preparation process: progress so far and upcoming steps and plan	Mr Phouthone Siripanthong, PPT
10:00 – 10:30	– Coffee break	
10:30 – 11:30	– Presentation on laws and policies for social safeguards, impacts and mitigation measures	mr Bounhome Phothimath, social safeguards specialist
11:30 – 12:00	– Plenary session for comments and questions	all participants
12:00	– Lunch Break	
13:30 – 14:30	– Presentation on laws and policies for environmental safeguards, impacts and mitigation measures – Plenary session for comments and questions	Dr Keoduangchai Keokhamphui, Environmental Safeguards specialist all participants
14:30 – 15:00	– coffee break	
15:00 – 15:40	– Discussion on appointment of focal point for environmental and social monitoring at provincial level – Pre selection of irrigation scheme (1st batch, component A3) – Preparation of detailed plan for seed propcessing and extension infrastructures (component A1) – Preparation of training need assessment under provincial budget lines – other aspects	PPT and all participants
15:40 – 16:00	– Conclusion and Closing remark	Chairman of the workshop

WORKSHOP ATTENDANCE

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