

# **Environmental and Social Management Plan (ESMP)**

**for the Programme**

**“Lao PDR Emissions Reduction Programme through Improved  
Governance and Sustainable Forest Landscape Management”**

**Prepared by**

**GIZ**

**for Submission to the**

**Green Climate Fund**

## Glossary

ADB	Asian Development Bank
AE	Accredited Entity
BMZ	<i>Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung</i> (Germany's Federal Ministry for Economic Cooperation and Development)
CSO	Civil Society Organisation
DOA	Department of Agriculture
DOF	Department of Forestry
DOFA	District Office for Agriculture and Forest
DONRE	District Office for Natural Resources and Environment
DPMU	District Programme Management Unit
EPF	Environmental Protection Fund
ER-P	Emission Reduction Programme
ERPD	Emission Reductions Project Document
ESIA	Environmental and Social Impact Assessment
ESM Team	Environmental and Social Management Team
ESMP	Environmental and Social Management Plan
E&S Policies	Environmental and Social Policies
ES risks	Environmental and Social risks
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FFS	Farmer Field Schools
FPIC	Free and Prior Informed Consent
GAP	Gender Action Plan
GCF	Green Climate Fund
GDP	Gross Domestic Product
GIZ	<i>Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH</i> (a German development agency)
GoL	Government of Laos
HCV	High Conservation Value
HQ	Headquarters
IFAD	International Fund for Agricultural Development
IFC	International Financial Cooperation
IP	Indigenous Peoples
IPP	Indigenous Peoples Policy
JICA	Japan International Cooperation Agency
KfW	<i>Kreditanstalt für Wiederaufbau</i> (a German development bank)
Lao PDR	Lao People's Democratic Republic
LFND	Lao Front for National Development
LULUCF	Land-use, Land-use Change and Forestry
LWU	Lao Women's Union
LUP	Land Use Planning
M&E	Monitoring and Evaluation
MAF	Ministry of Agriculture and Forestry
MONRE	Ministry of Natural Resources and Environment
NPMU	National Programme Management Unit
NRTF	National REDD+ Task Force
NTFP	Non-timber Forest Products

PAFO	Provincial Office for Agriculture and Forestry
PLUP	Participatory Land Use Planning
PMU	Programme Management Units
PONRE	Provincial Office for Natural Resources and Environment
PPIO	Provincial Planning and Investment Office
PPMU	Provincial Programme Management Unit
PRO	Provincial REDD+ Office
ProCEED	Promotion of Climate-related Environmental Education (a GIZ project)
PRTF	Provincial REDD+ Task Force
PS	Performance Standards (IFC safeguards)
REDD+	Reducing Emissions from Deforestation and Forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries
SEDP	Socio-economic Development Plans
SFM	Sustainable Forest Management
tCO <sub>2</sub> eq	Tonnes of Carbon Dioxide equivalent
TF	Task Force
TOT	Training of Trainers
TWG	Technical Working Group
UNI	Unintended Negative Impacts
UXO	Unexploded Ordnance
VEC	Valued Ecosystem Component
VFMA	Village Forest Management Agreements
WB	World Bank

## Contents

1.	Introduction to the ESMP .....	5
2.	ESMP Structure .....	5
3.	Project Standards and Safeguards .....	6
4.	Potential Unintended Negative Impacts and External Risks.....	8
5.	Landscape-specific Information .....	9
6.	Institutional Implementation Arrangements - Roles and Responsibilities .....	10
6.1.	GoL Counterparts .....	11
6.2.	GIZ .....	12
6.3.	NGOs and CSOs .....	12
7.	ESMP Implementation .....	13
7.1.	ESM Team .....	13
7.2.	Task-specific Consultants (short-term) .....	14
7.3.	Training Workshops .....	15
8.	ESMP Budget.....	16
8.1.	Staffing and Consulting Costs (in EUR).....	16
8.2.	Activity and Material Costs (in EUR) .....	17
9.	Tables of Actions .....	18
	Overview of ESMP Actions.....	18
	ESMP Action 1a: ESMP Implementation and Enforcement.....	18
	ESMP Action 1b: ESMP Monitoring and Reporting.....	20
	ESMP Action 1c: Capacity Building for PMUs on ESMP .....	22
	ESMP Action 1d: Legal Knowledge .....	23
	ESMP Action 2: Ethnic Groups .....	26
	ESMP Action 3: FPIC Process.....	29
	ESMP Action 4: Social Inclusion and Meaningful Consultation .....	32
	ESMP Action 5: Data Collection and Information Dissemination .....	34
	ESMP Action 6: Biodiversity .....	36
	ESMP Action 7: Health and Safety .....	38
	ESMP Action 8: Strengthening the EPF's Safeguards Capacity .....	40
	ESMP Action 9: Business Partner Screening .....	41
	ESMP Action 10: Risk Related to Climate Change Impacts .....	42
	Annex 1: Site-Specific Information for Huaphan, Xayabouli and Oudomxay .....	45

## 1. Introduction to the ESMP

This Environmental and Social Management Plan (ESMP) is for the Lao PDR Emissions Reduction Programme through Improved Governance and Sustainable Forest Landscape Management. The programme's main objective, an ambitious one that entails paradigm shifts in a number of interrelated sectors, is as follows: *To support the Government and people of Laos in changing the present-day use of forests and landscapes and to ensure a transition to sustainable management at scale. This will reduce close to 58m tCO<sub>2</sub>eq over the project's duration.* The programme's goal is to provide the impetus for a systematic turnaround in land use, land use change and forestry (LULUCF) and establish a new and viable management model (or models) for the country's forests and landscapes.

The purpose of this ESMP is to provide a practical plan to manage the potential environmental and social unintended negative impacts associated with the project's activities, as well as to allow for meaningful and inclusive multi-stakeholder consultations and engagement throughout the lifecycle of the programme. This particularly takes into account the circumstances of vulnerable, marginalized individuals and members of ethnic groups that potentially are negatively affected by the project's activities. The ESMP also aims to assist the Lao government counterparts in cooperation with the Programme Management Units and GIZ team to maintain and/or improve its environmental and social management system during the project's preparation and implementation.

The ESMP ensures that throughout the programme implementation, the programme team continuously screens all of the activities proposed under the programme and monitors potential unintended environmental and social impacts properly and sufficiently as required. Where impacts and potential impacts are identified and if these are unavoidable, suitable mitigation measures will be properly planned so as to adequately compensate for residual impacts and to provide for restoration. GIZ and programme partners will disclose this ESMP online as well as in public places in the programme area so that people are easily able to gain access to it and provide feedback and recommendations as well as express their concerns through programme activity-level grievance mechanisms.

## 2. ESMP Structure

This ESMP closely accompanies the ESIA, the Feasibility Study and the Financial Plan.

The ESMP will firstly set out the project standards and safeguards that the ESMP addresses, and then differentiate between the Unintended Negative Impacts and the external risks associated with the programme that the ESMP Actions meet. The importance of landscape-specific details are highlighted before the institutional implementation partners are identified. The roles and responsibilities of the Environmental and Social Management Team, GIZ, Government of Laos (GoL) counterparts and task-specific consultants that are needed for implementation, including organizational capacity requirements in order to support the ESMP are gone through, followed by the overarching ESMP Workshop Activities. An M&E section describes the monitoring system that will need to be set up, and an overall ESMP budget is provided. Finally, the main ESMP actions are presented in table form.

The ESMP calls for a team of experts in various fields to make up an ESM Team that will support the development, capacity building, training, implementation, monitoring and reporting needed to carry out the Actions in this ESMP. The process will be formalized through a series of annual training workshops at provincial and district level that will support capacity development and provide the DPMU and PPMU with the technical skills needed to implement the actions.

### 3. Project Standards and Safeguards

This ESMP has been drafted with the guidance provided by the findings and interpretations of the project's ESIA, which was informed by the GCF Environment and Social Safeguard Policy, approved in March 2018, the GCF's, Indigenous Peoples Policy, and corresponding GIZ policies and safeguard standards. The findings of the readiness activities of the Forest Carbon Partnership Facility (FCPF), which prepares an Emission Reduction Programme (ER-P) in Laos, were also taken into account. The ESMP therefore has extensively examined the International Financial Cooperation (IFC)'s Performance Standards on Environmental and Social Sustainability (PS), GIZ's Sustainability Policy and Safeguards+Gender Management Systems, World Bank (WB)'s Safeguards Policy and the Lao national safeguards policies, laws and regulation.

These policies reflect the broad consensus on GCF commitments to achieve environmental and social benefits and to avoid harm in all the activities that are undertaken and supported as well as the importance to clearly convey these to stakeholders and communities in order to reach consensus around the programme. The GCF safeguards policy articulates how GCF integrates environmental and social considerations into its decision-making and operations to effectively manage environmental and social risks and impacts and to improve outcomes.

The project standards, which directly apply to the programme, are PS1-2 and PS4-8 (overview on next page):

- PS1: Assessment and management of environmental and social risks and impacts
- PS2: Labor and Working Conditions
- PS4: Community health, safety and security
- PS5: Land acquisition and involuntary resettlement
- PS6: Biodiversity conservation and sustainable management of living natural resources
- PS7: Indigenous People
- PS8: Cultural heritage

Therefore, this ESMP presents the commitments of the programme to comply with the policy principles and standards to which the GCF holds itself and its Accredited Entities accountable. This ESMP is committed to:

- Avoid, and where avoidance is impossible, mitigate adverse impacts to people and the environment;
- Enhance equitable access to development benefits; and
- Give due consideration to vulnerable populations, groups, and individuals (including women, children, and people with disabilities, and people marginalised by virtue of their sexual orientation or gender identity), local communities, ethnic group peoples, and other marginalised groups of people and individuals that are affected or potentially affected by programme activities.

The ESMP includes mitigation hierarchies to manage and mitigate risks (as per Performance Standard 1 and the Indigenous Peoples Policy (IPP)), and detailed mitigation and/or compensation measures. These are necessary to make the programme compliant with the GIZ's and GCF's E&S Policies including the GCF's Indigenous Peoples Policy, and to ensure the risks are minimized in a way that firmly positions the programme in Category B in terms of risk.

**Note:** "Lao PDR has endorsed the *International Labour Organization Convention 169 on Indigenous and Tribal Peoples (ILO 169, 1989)* and *United Nations Declaration of Indigenous Peoples' Rights (UNDRIP,*

2007) but the Government of Lao PDR (GoL) does not recognize the concept of indigenous peoples in its policies and legislation. Instead, the term “ethnic group” is officially used to describe its people, who are categorized into 49 broad ethnic groups. [...] Ethnic group diversity is reflected in a rich diversity of ethnic languages. Each ethno-linguistic family is divided into main ethnic groups and is further described through sub-ethnic groups. Some ethnic languages are only spoken languages, and do not have written forms.”<sup>1</sup> Thus, the term “ethnic groups” is used throughout this document.

*Table 1: Safeguards Policy Triggered and Mitigation Actions*

<b>GIZ Policy / Safeguard:</b>	<b>Risk as per GIZ ESMS:</b>	<b>Associated IFC PS:</b>	<b>Specific Mitigation Actions from ESMP</b>
GIZ Sustainability Policy	Medium	PS1: Assessment and Management of Environmental and Social Risks and Impacts	ESMP 1a, b, c & d: Implementation ESMP 2, 3 & 4: IPP, FPIC and Social Inclusion ESMP 5: Data Collection ESMP 8: Strengthening EPF's safeguard Capacity
GIZ Safeguard: Environment	Low	PS3: Resource Efficiency & Pollution Prevention (not triggered) PS 4: Community Health, Safety, and Security PS6: Biodiversity Conservation & Sustainable Management of Living Natural Resources (risk: low)	ESMP 3: FPIC ESMP 6: Biodiversity ESMP 7: Health and Safety ESMP 9: Partner Screening
GIZ Safeguard: Climate Change	Low	PS 4: Community Health, Safety, and Security (low)n/a	ESMP 10: Risk Related to Climate Change Impacts
GIZ Safeguard: Conflict & Context Sensitivity	Medium	PS4: Community Health, Safety & Security (risk: low) PS5: Land Acquisition & Involuntary Resettlement (risk: medium) PS6: Biodiversity Conservation & Sustainable Management of Living Natural Resources (risk: low)	ESMP 3: FPIC ESMP 6: Biodiversity ESMP 7: Health and Safety
GIZ Safeguard: Human Rights	Medium	GCF Indigenous People Policy (risk: medium) PS2: Labor & Working Conditions (risk: low) PS4: Community Health, Safety & Security (risk: low) PS5: Land Acquisition & Involuntary Resettlement (risk: medium) <sup>2</sup> PS6: Biodiversity Conservation & Sustainable Management of Living Natural Resources (risk: low) PS7: Indigenous People (risk: medium) PS8: Cultural Heritages (risk: medium)	ESMP 2: IPP ESMP 3: FPIC ESMP 4: Social Inclusion ESMP 6: Biodiversity ESMP 7: Health and Safety
GIZ Safeguard: Gender	n/a	GCF Gender Policy (risk: n/a)	ESMP 2: IPP ESMP 3: FPIC ESMP 4: Social Inclusion

<sup>1</sup> ER-PD SESA Report 2017, p. 27

<sup>2</sup> See ER-PD's resettlement policy framework (included in Annex 13 of the ESIA)

#### 4. Potential Unintended Negative Impacts and External Risks

The ESIA and Feasibility Study have identified a number of potential risks, which have been divided into Unintended Negative Impacts (UNI or ES risks), which are a potential direct result of programme activities, and external risks that are caused by factors outside of programme control or influence. The focus of this ESMP as per GCF and GIZ policies is on managing UNIs. External risks are usually addressed by the project's risk management framework and not further explored here. However, some external risks may have interactions with potential UNIs of the programme and therefore require monitoring under the ESMP. These external risks have been selected and listed in the table below. In addition, GIZ's safeguards system routinely screens for external risks related to climate change.

These risks are summarized in the table below.

*Table 2: UNI and External Risks*

Unintended Negative Impacts (UNI or ES risks)	External risks
Use of chemicals: Promoting agriculture may lead to villagers being harmed through use of pesticides or herbicides.	Traders have been handing out harmful substances (happened in the past with bananas) to villagers in recent years and use of chemicals is more common now.
Unexploded Ordnance (UXO): Programme leading to more people entering forests for patrolling, collecting NTFP including harvesting bamboo, engaging in agricultural activities (on already used lands), exposing them to risk of harm through UXOs.	UXO contamination, risk higher after extreme events affecting ground for example heavy rain or flooding.
Participatory Land Use Planning (PLUP) may lead to insufficient allocation of arable land if not considerate of local realities or inappropriately restrictive.	Concessions for mining, hydropower, roads, trains may entail displacement or resettlement
Sustainable Forest Management and law enforcement may affect customary land-use, if not considerate of local realities or inappropriately restrictive	Concessions for mining, hydropower, roads, trains may impact forest ecosystems negatively
Sustainable Forest Management and law enforcement may affect access to cultural heritage / places of spiritual importance, if not considerate of local realities or inappropriately restrictive	Policy incoherence
The programme unintentionally may not fully take into account the needs of ethnic groups (for example due to language barriers) or negatively affect their customary land use.	Lack of GoL staff or lack of capacities
People's cultural heritage, including of an intangible nature, may be at risk if there is a change in land use, or if they are denied any access rights	Lack of awareness re ethnic groups, gender etc. in Lao society in general, and with programme counterparts and stakeholders
Promoting timber plantations and permanent agriculture may reduce biodiversity, if appropriate management plans are ignored or lacking entirely.	Insufficient participation of women, children, ethnic groups due to "meeting culture", male dominance
Programme to ensure anonymity in consultations, FPIC, grievance mechanism etc. or individuals could be exposed and harassed for being critical	Lack of socio-economic data
Synchronization: The programme needs to complete certain activities before it can safely move on to other activities. Precondition activities are for example PLUP and certain ESMP actions like FPIC, UXO checks, awareness raising on harmful substances and socio-economic baselines before SFM, law enforcement and agriculture activities can be implemented	Climate change may negatively impact agricultural productivity and increase food security
Labor and working conditions for staff directly employed by the programme or staff working for partners on programme activities (for example work in forests)	



The external risks identified by the ESIA, which may interact with UNIs and need monitoring, include lack of institutional knowledge, gaps in baseline data, and low capacity in some places of the GoL administration. The ESMP supports the mitigation strategies by providing an overarching framework within which the FPIC process and the IPP, gender mainstreaming, capacity building can all be managed by vertical integration of counterparts and the programme team; a process of adaptive management that incorporates local realities and understandings into programme plans and implementation. Other mitigation measures include updated data collection on local land-use practices, concession and infrastructure planning, land-use conflicts, as well as FPIC and social inclusion databases to ensure participatory consent from village stakeholders.

All identified potential risk have been addressed in this ESMP and although some of the identified risks are clearly external, the programme will need to monitor them in order to ensure that they do not impinge into programme activities, and that if they do, there are suitable mitigation measures in place. An example of external risks potentially interacting with UNIs could be seen, for instance, in the context of using chemicals in agriculture. Even though the programme will apply business screening practices, a bottom-up approach to agricultural development through the Farmer Field Schools (FFS) and promote Good Agricultural Practices, the “traditional” agricultural practices of the villagers in recent years is to use higher amounts of chemical pesticides and fertilizers. This may continue despite programme activities and lead to environmental or human health impacts and therefore, ESMP mitigation measure related to environmental health and safety need to be applied in conjunction with monitoring broader agricultural practices applied or promoted in the market around the programme.

## 5. Landscape-specific Information

The ESMP is complemented by three site-specific ESMPs in order to provide “samples” for the future implementation. The three sites have been chosen as representative of the different socio-economic, ethnic, and geographical situations (Heuameaung District in Huaphan Province, Xai District in Oudomxay Province, and Saybouli District in Sayabouli Province) and have had an initial analysis of the local situation related to ES risks (presented in Annex 1). Continued research into the site-specific contexts of local areas will be essential as the programme likely will not commence its activities approx. 2 years from the time of writing this report, and then will continue for a duration of 9.5 years.

The programme estimates that there are four different landscape-specific areas in which detailed data will be required to adequately capture the geographical and socio-economic differences in these areas.

This ESMP covers all provinces, districts and villages that are planned to take part in the programme, and will be implemented taking landscape differences into account. Detailed narratives describing the four distinct landscapes can support mainstreaming local knowledge and understandings into programme planning, and will support programme implementation.

*Table 3: Specific Landscapes by District*

Type of Landscape	# of Districts	Bokeo Province	Sayabouli Province	Luang Prabang Province	Oudomxay Province	Huaphan Province	Luang Namtha Province
Hilly topography, characterized by shifting cultivation	9	Paktha Pha Oudom	Hongsa	Viengkham Phonthong		Xam Neua Heuameuang Viengxay Xam Tai	
Mountainous, characterized by small and medium scale agriculture and forest concessions	11	Houayxai		Xieng Ngeun Phonxay	Na Mou Xai Nga Beng		Long Namtha Vieng-phouka Nalee
Flat, permanent agriculture	4		Sayabouri Phian Paklay	Nan			
Hilly, large scale, continuous forests, mainly under NPA protection	4	Meung	Thongmixay			Xone Heim	

Data collection activities, specifically NTFP and biodiversity surveys, will need to be conducted at a landscape specific area, while other socio-economic information will need to be conducted in each community participating in the programme.

## 6. Institutional Implementation Arrangements - Roles and Responsibilities

This section outlines the roles and responsibilities of the programme team consisting of seconded staff mainly from the Department of Forestry and other line agencies of the Ministry of Forestry, GIZ specialists, the ESM Team, which will have overall responsibility for implementing the ESMP, and other stakeholders including NGOs and CSOs. Additional consultants will be engaged on a short-term basis to support specific activities.

Coordination amongst all programme partners and stakeholders will be key for successful implementation of the ESMP. Under the supervision of GIZ, the Environmental Protection Fund (EPF) will have an important role for channeling the programme financing (grants) on behalf of the GCF and the German Ministry for Economic Cooperation and Development (BMZ) to local level programme activities. The EPF will take over some of the ES-related responsibility, as appropriate to its capacities. To support the EPF in this role, GIZ will provide capacity building through the planned GCF programme for strengthening the Environmental and Social Management System of the EPF and ensure compliance with GIZ and GCF requirements. GIZ produced a gap assessment report and a capacity needs assessments for the EPF, which has resulted in the ESMP action 1c on capacity building and action 8 on strengthening the capacity of the EPF.

### 6.1. GoL Counterparts

The programme will be steered/implemented in both a cross-sectoral (horizontal) and a sub-national (vertical) manner through a series of National, Provincial and District level steering committees/ Programme Management Units (Feasibility Study Section 4: Programme Implementation; as well as in Funding Proposal).

The National Programme Management Unit (NPMU) located within the Department of Forestry in the Ministry of Agriculture has ultimate implementation and reporting responsibility and partly responsibility for data collection for the programme. The structure of the NPMU, supported by the National REDD+ Task Force (NRTF) and the six technical working groups, is followed at a provincial and district level by the creation of Provincial Programme Management Units (PPMU) in each of the six provinces, supported at a provincial level by the Provincial REDD+ Office (PRO) and the Provincial REDD+ Taskforce (PRTF), both located within the Provincial Agriculture and Forestry Office (PAFO) which leads provincial steering committees to review implementation. The PPMU supports technical capacity building, implementation, screening and monitoring and reporting.

At a district level, the District Programme Management Unit (DPMU) receives guidance in implementation from the PPMU and the NPMU, but is itself ultimately responsible for engaging with communities to implement programme activities. As such, the DPMU is the main contact with programme communities within the 28 target districts apart from the ESM Team.

Although the NPMU works in close coordination with GIZ to oversee and supervise programme activities, and has direct supervision of the PPMU and the DPMU, it will be the district and provincial management units that will support the ESMP work by:

- Complying with ESMP instructions when implementing local programme activities in close coordination with Consultants and/or GIZ/ESM Team
- Implementing ESMP actions in close coordination with Consultant Team/GIZ/ESM Team
- Engaging in data collection in close coordination with Consultant Team/GIZ/ESM Team
- Nominating key personnel to attend workshops/Training of Trainers sessions.

Additionally, close coordination and cooperation with a number of Ministries, Departments, Provincial, District and Village Authorities, Mass Organisations, Task Forces and TWGs is needed. The formal organisations involved include:

- REDD+-specific bodies: National and Provincial REDD+ Task Forces, National and Provincial REDD+ Offices, and national TWGs;
- MAF: down to District, including sub-district level for Technical Service Centres; the key departments will be Department of Forestry, Department of Forest Inspection, Department of Village Forests and NTFPs, NPA-responsible Department, Department of Agriculture Extension and Cooperatives and DALAM;
- MONRE: down to District; including Department of Land Administration;
- Ministry of Planning and Investment: down to District;
- Administrative Authorities: Provincial and District Governors' Offices, plus Village Authorities and Committees;
- LFND: Mass organisation down to village level, often used to assist with local consultations.

- LWU: Mass organisation down to village level, often used to assist with local consultations.
- CSO: including locally based farmer associations or cooperatives, village savings and credit schemes, or other community group that is not a part of the official government structure. The ESM team will work to identify these possibilities during FPIC and Social Inclusion processes (See ESMP Action 1a: Implementation).

*Some additional GoL counterparts will participate in specific actions as appropriate, these inputs are detailed in Section 12: Tables of Actions below.*

## 6.2. GIZ

GIZ is responsible for

1. Having the overall responsibility for the programme and its activities vis-à-vis GCF (contractual)
2. Strengthening and complementing the programme management structure (NPMU, PPMU and DPMU)
3. Hiring consultants and ESM Team programme staff as indicated below
4. Ensuring ESMP followed and updated
5. Managing and allocating budget including through the EPF and directly to a limited degree
6. Communicating ESMP actions to counterparts including GoL
7. Communicating ESMP actions externally according to the GCF environmental and social policy

Ensuring consultants have a comprehensive range of social and environmental skills and also have a balance of international best practice and local knowledge is essential. GIZ will ensure that the expert team's experience is balanced to include the domains of economic development, social/culture integrity, the preservation of land forest/national resources, as well as capacity building, management and M&E.

## 6.3. NGOs and CSOs

ESIA section 2.2 contains a specific recommendation for working with NGOs and CSOs to support their actions at a community level and to develop their capacity so that they can:

- Represent NGO/CSO voices in the programme steering committee
- Participate meaningfully in FPIC and consultations
- Contribute to monitoring and evaluations and overall learning in the programme
- Provide mentoring services at community level

The programme preparation team has identified the following NGOs and CSOs based on other projects' best practices including GIZ projects on FLEGT and on biodiversity conservation in Laos: Lao Women's Union (including at national, provincial and district-level); Village Focus International; The Centre for People and Forests (RECOFTC); FLEGT CSO Network – including the Green Community Alliance (GCA), the Rural Research and Development Promoting Knowledge Association (RRDPA), the Association for Community Training and Development (ACTD), Lao Biodiversity Association (LBA), Maeying Houamjai Phathana (MHP), the Wildlife Conservation Association (WCA) and the Social Development Alliance Association (SODA); National University of Laos (NUOL)

Providing support for their work will be part of the community engagement the ESM Team will do with the DPMU at the beginning of the programme.

## 7. ESMP Implementation

### 7.1. ESM Team

#### **Roles & responsibilities:**

- Ensure that all ESMP management work is done in a timely manner, and that the additions to this ESMP and the site-specific plans are finalized and in place within the first two years of the programme.
- Work to review and annually update the ESMP plans, and adjust to reflect barriers to implementation that occur as site-specific plans are developed and activities begin
- Monitor the external risks as described in the ESIA Section 3.4, in Funding Proposal Section G, and in Section 10 in the Feasibility Study, and support the use of adaptive management strategies to mitigate these risks at a local level to the extent that is practical, including developing a quality monitoring system as defined below.
- Work to integrate the ESMP, the Ethnic Group Development Plans as developed in Action 2 and the Gender Action Plan into programme planning and implementation of activities at all local/district, provincial and national levels.
- Integrate the FPIC process (ESMP Action 3) into the wider programme management structure by ensuring that the FPIC process is carried out before each activity
- Develop training on safeguards, including FPIC and social inclusion, monitoring checklists, and data gathering for DPMU and PPMU – capacity building
- Integrate data from baseline studies in ESMP action 5 into annual operation plans of the DPMUs and PPMUs, as well as ensuring ESMPs are updated as required
- Ensure that data collection (Action 5) itself follows FPIC protocols (Action 3), and that database management complies with the IPP (Action 2), FPIC and Social Inclusion best practice
- Work with the wider programme team to disseminate ES-related information, build ES-related capacity, to ensure translations into Lao language and others as appropriate
- Establish ESMP monitoring system with checklists and indicators to ensure that programme activities are meeting compliance standards with safeguards
- Provide training to DPMU and PPMU, with annual follow-up workshops

#### **ESM Team qualifications:**

The ESM Team will be comprised of two specialists hired under GIZ contracts: an international specialist, and a national specialist:

- One (1) International ESM Specialist – 33% of a full-time position
  - Master's degree in sustainability studies, with a focus of environmental and social safeguards, development studies, sociology, anthropology, with a focus on human and environment relations or related field
  - Minimum 10 years of experience with ESMP implementation at a similar level
  - Familiarity with upland agricultural systems, integrated forestry management practices, FPIC and working with ethnic groups is also essential
  - Familiarity with TOT principles and training workshops, capacity building in government partner context, and social inclusion

- Some experience in Laos (and of the language) is also beneficial
- One (1) National ESM Specialist– 66% of a full-time position
  - The National ESM Specialists should have a degree in a related field (environmental management, agriculture and forestry, or social sciences), at least 10 years of experience with similar integrated development projects. Must have familiarity working with government partners, and understand community participation principles. Experience in working with socio economic data, gender mainstreaming, FPIC work and ethnic groups is essential, and knowledge of one or more ethnic languages a benefit.

## 7.2. Task-specific Consultants (short-term)

Task Specific Consultants – must each have at least 7 years of experience in their specific field of expertise, must demonstrate a holistic understanding of social safeguards and the environmental implications of programme activities. National consultants must have a functional level of English.

- **Database Designer** – Computer skills needed – database design and management – short-term
  - To design database for FPIC process, and ongoing social inclusion monitoring
  - To coordinate data collection results and develop a system where data collection can be accessed, updated and reported on, and privacy needs are respected
- **Data Collection Expert** – Social Anthropologist or similar – baseline data collection – short-term
  - Design and test baseline data collection at a village level
    - Village profiles
    - Socio-economic self-assessment
    - Brief implementation manual to ensure equal participation at a village level
  - Work with ESM Team to support monitoring checklist creation and establish ESMP monitoring system.
  - Work with Database Designer to ensure collected community data can be easily processed for the database, accessed, and updated as needed
- **Gender Specialist** – Social Anthropologist or similar – gender – short-term
  - To work with ESM Team to implement Gender Action Plan (see Gender Action Plan)
- **FPIC Specialist** – Social Anthropologist or similar – Participatory planning for ethnic people – short-term
  - To design and test FPIC training for DPMU
  - Create implementation manual for FPIC process
  - Work with data collection person to facilitate all FPIC, Social Inclusion and PLUP processes - Consultant must be knowledgeable about forest and land use management and livelihoods, especially upland agricultural systems and mixed forest found in Northern Laos, to be able to provide accurate and specific information to communities
- **Ethnic Groups Expert** – social anthropologist or similar – IPP – short-term
  - Carrying out community development planning framework as well as assess ethnic groups' forest and land use characteristics to design ethnic groups engagement in land and forest management activities
- **Curriculum Development Specialist** – ToT trainer or similar – training workshops – short-term
  - To support the development of data gathered by various consultants, and PMUs into training workshops suitable for district and provincial level workshops

### 7.3. Training Workshops

The ESMP set-up will be initiated through a system of training workshops, each building on the previous year's information to support the increasing of the PMUs' capacity at provincial and district level to carry out the ESMP activities.

In the first year(s) the ESM Team will train the DPMU and PPMU in how to implement the safeguards, resulting in a suite of tools, including checklists for monitoring activities, and detailed information on implementing the FPIC process.

The subsequent annual training workshop process will enable the ESM Team to continue to work with DPMU and PPMU at a provincial and district level, to support the continued implementation of safeguards policies and implementation. This will enable to DPMU to carry out social and environmental management plans in each community. The DPMU, supported by PPMU, will report back to ESM Team, who will provide feedback and further support as needed.

Before each training course or workshop, the ESM Team will develop a tool for measuring the success of that workshop, along with a participant questionnaire that can provide an indicator of improved comprehension for targets and monitoring goals for all ESMP actions.

The ESM Team will work with the Task Specific Consultants to:

- Develop implementation schedule for ESMP Actions, ensuring programme synchronization occurs and that the pre-conditions for activities are met (see ESMP Action 1a)
- Develop trainings, alongside practical materials, for PMU on activities, including
  - FPIC
  - Safeguards
  - Social Inclusion and meaningful consultation
  - IPP
  - Data gathering and dissemination, including the database
  - Legal knowledge and law enforcement
  - Co-management of forests
  - Communication between and within PMU and GoL counterparts
  - Monitoring and Evaluation
- An overall M&E system will be developed resulting in
  - Checklists for activities
  - Implementation targets and indicators

The ESM Team will also conduct provincial level workshops to bring together district and provincial staff to share landscape-specific information and lessons learnt.

The outputs from the workshop process will be the initial tools for DPMU staff to implement at a community level, and will result in DPMU management reports in the following years.

The ESM Team will also work to provide a forum for any community-based programme staff and volunteers to exchange village specific information, lessons learnt and request additional support. This will support adaptive management and enable increasingly effective implementation at a local level.

## 8. ESMP Budget

The total ESMP budget for the whole programme is EUR 1,328,000 broken down into staff and consulting costs (EUR 922,000), and material and activity costs (EUR 406,000) below.

The ESMP budget does not include some specific activities, which the programme team already accommodated for in the project budget:

- EUR 280,000 for supporting the implementation of FPIC, budgeted for in the programme budget under Activity 1.7
- EUR 144,000 for training DPMU on social inclusion, meaningful consultations and other ESMP-related actions, budgeted under Activity 1.7
- EUR 189,000 for the local implementation of social inclusion, meaningful consultations and other ESMP-related actions, budgeted under Activity 1.7

### 8.1. Staffing and Consulting Costs (in EUR)

Title	Timeframe	# of months	Cost per month	Total
ESM Team Leader (International)	Part time (33%)	32	16,000	512,000
ESM Expert (National)	Part time (66%)	64	3,500	224,000
Database designer	Short-term	Lump sum	60,000	60,000
Data collection consultant (National)	Short-term	10	4,500	45,000
FPIC consultant (National)	Short-term	6	4,500	27,000
Ethnic groups consultant (National)	Short-term	6	4,500	27,000
Curriculum consultant (National)	Short-term	6	4,500	27,000
<b>Total</b>				<b>922,000</b>



## 8.2. Activity and Material Costs (in EUR)

Expense	Action	Unit Cost	Number of units	Frequency	Total
Graphic designers for materials for community consent work	Action 2: IPP Action 3: FPIC Action 4: Social Inclusion	5,000	8	Annual	40,000
Translators/interpreters at district and village level actions	Action 2: IPP Action 3: FPIC Action 4: Social Inclusion	8,000	8	Annual	64,000
National pre-start workshop to agree principles and training procedures		4,000	1	First year	4,000
Provincial pre-start training of trainers workshop		2,000	6	First year, each province	12,000
District pre-start training workshops	ESMP Implementation	4,000	6 (28 districts will be trained at provincial level)	First year, each province	24,000
Training for DPMU on FPIC	ESMP Action 3: FPIC	4,000	6 (28 districts will be trained at provincial level)	1-2 year (one training)	24,000
Support for DPMU to implement FPIC in each community (at least 2 visits to each village within first 18 months of programme life)		200 per village	700 villages	1-2 year (two meetings per village)	280,000 (budgeted under 3.1.1.)
Training for DPMU on Social Inclusion and other ESMP actions	ESMP Action 4: Social Inclusion	4,000	6 (28 districts will be trained at provincial level)	3-8 year	144,000 (budgeted under 3.1.1)
Support for DPMU to implement social inclusion activities and others		200 per village	700 villages (annual meeting per village cluster)	3-8 years (meetings at village cluster level) biennial	Additional 222,000 (198.000 (budgeted under 3.1.1.)
NTFP biodiversity survey	Action 6	4,000	4 landscapes		16,000
Provincial GoL self-reporting	Action 5		6 provinces		government contribution
District GoL self-reporting	Action 5		28 districts		government contribution
<b>Total</b>					<b>406,000</b>

## 9. Tables of Actions

### Overview of ESMP Actions<sup>3</sup>

ESMP Action #	Title
ESMP Action 1a	ESMP Implementation and Enforcement
ESMP Action 1b	ESMP Monitoring and Reporting
ESMP Action 1c	Capacity Building for PMUs on ESMP
ESMP Action 1d	Legal Knowledge - Ensure compliance with standard operation procedures (SOP), guidelines and law enforcement
ESMP Action 2	Ethnic Groups
ESMP Action 3	FPIC Process
ESMP Action 4	Social Inclusion and Meaningful Consultation
ESMP Action 5	Data Collection and Information Dissemination
ESMP Action 6	Biodiversity
ESMP Action 7	Health and Safety
ESMP Action 8	Strengthening the EPF's Safeguards Capacity
ESMP Action 9	Business Partner Screening
ESMP Action 10	Risk Related to Climate Change Impacts

### ESMP Action 1a: ESMP Implementation and Enforcement

<b>Objective: To allocate staff and define responsibilities for day-to-day implementation of the ESMP</b>	
<b>Action Instructions/ Descriptions:</b>	<p>The ESM Team will conduct and oversee ESMP integration and implementation over the life cycle of the programme.</p> <p>The ESM Team will</p> <ul style="list-style-type: none"> <li>• Develop an ESMP task schedule that will support overall programme synchronization to ensure preconditions for specific activities are met. Examples include PLUP and ESMP Actions on FPIC; preventative procedures that ensure UXO checks are carried out as highlighted in ESMP action 7: Health and Safety, partner screening (Action 9) and data collection (Action 5) before SFM and FFS activities</li> <li>• Work with task-specific consultants to facilitate other ESMP Actions including: <ul style="list-style-type: none"> <li>○ Create databases</li> <li>○ Oversee data collection</li> <li>○ Design training courses</li> <li>○ Implement training workshops and annual information sharing / consultation workshops</li> </ul> </li> <li>• Build ES-related capacities of implementation partners in and under MAF mainly DOF, DOA and subnational line agencies including PAFOs, PONRES, DAFOs, and DONRES, with specific support for PPMUs and DPMUs.</li> <li>• Identify qualifying CSO and provide support through capacity building and mentoring to engage them in ESMP implementation</li> </ul>

<sup>3</sup> Note: The programme's gender, safeguard and M&E specialist will conduct a comparison of the approved ESMF for the ER-PD and the programme's ESIA/ESMF as soon as the programme is approved (as the ESMF is still under development and has not yet been formally approved). This process will identify and close potential gaps, ensuring the documents are consistent.

	<ul style="list-style-type: none"> <li>• Support the EPF under MONRE to ensure the EPF's ESMP is strengthened and can support programme activities with existing ES capacity of GoL (see ESMP Action 8)</li> <li>• Develop checklists and other monitoring formats for tracking whether the subsequent ESMP activities have taken place (or are ongoing) as planned and have the desired effectiveness and efficiency</li> <li>• Annual reporting on ES-related activities and dynamics to National Programme Steering Committee, GIZ AE unit at GIZ HQ, development partners as appropriate as well as GCF and BMZ</li> <li>• Coordinate with participating development partners on safeguards-related implementation (ADB, KfW, IFAD, JICA and FAO)</li> </ul>	
<b>Addressed potential unintended negative impacts:</b>	<p>ESIA: See corresponding ES risk description under PS1 in ESIA Table 17 for details.</p> <p>As a category B programme (medium ES risk), the programme needs a dedicated ESMP as well as qualified staff and financial resources to implement the ESMP.</p> <p>The potential risks of overburdening programme management with ESMP implementation will be mitigated by engaging a dedicated team of specialists (ES, IP, Gender), who will oversee the implementation of the ESMPs, continuously monitor its effectiveness and efficiency, and improve as necessary.</p> <p>Collection of socio-economic data will be important.</p> <p>Synchronization of programme activities to the ESMP will be essential.</p>	
<b>Timeframe:</b>	<p>ESMP documents updated, and programme implementation timeframe developed after data collection during the first two years of the project</p> <p>Ongoing ESMP management for the 9.5 years of the programme</p> <p>ESMP documents will be reviewed on an annual basis</p> <p>Annual reporting on ES-related activities and dynamics</p>	
<b>Programme Inputs:</b>	<p>ESM Team and consultant costs</p> <p>Operational costs</p>	
<b>Counterpart inputs:</b>	<p>NPMU, PPMU and DPMU to implement activities, with additional support from the Ministry of Agriculture and Forestry, including but not limited to the Department of Forestry (REDD+ Division, NTFP Management Division, Forest Management Division) and Department of Agriculture (Department of Technical Extension and Agriculture Processing, Department of Agricultural Extension and Cooperatives)</p>	
<b>Responsible:</b>	<p>The ESM Team, NPMU, PPMU and DPMU</p>	
<b>Targets to monitor implementation:</b>	<b>Monitoring to assess effectiveness and efficiency:</b>	
<p>ESMP updated</p> <p>Landscape-specific ESMPs created</p> <p>ESMP highlights translated into Lao</p> <p>ESMP checklists created</p> <p>programme timeframe clearly lays out preconditions for activities</p>	<p>Updated ESMPs at institutional and landscape level</p> <p>NPMU, PPMU and DPMU staff complete questionnaire on ESMP, with at least 50% demonstrating competent understanding after first year, 85% understanding after year 2 workshop</p> <p>ESMP checklists for FPIC, gender, IPP, and social inclusion are used before every activity – 50% after first year of programme implementation, rising to 90% after third year of programme implementation.</p> <p>All programme activities proceed after precondition checks are made</p>	

## ESMP Action 1b: ESMP Monitoring and Reporting

<b>Objective: To establish a vertical monitoring system and check-list for all ESMP Actions and provide training on it; To develop reporting and documentation system</b>	
<b>Action Instructions/ Descriptions:</b>	<p>Develop a vertical monitoring framework (from national to community level), which measures adherence to this ESMP and GCF &amp; GIZ safeguards in general.</p> <p>Monitoring system and tools need to be established, with targets set up alongside the indicators for each safeguard action. The ESM Team will complete this simultaneously with the safeguards checklist.</p> <p>Monitoring includes</p> <ul style="list-style-type: none"> <li>• Compliance monitoring <ul style="list-style-type: none"> <li>○ Where all safeguard requirements are met according to safeguard policy statements</li> <li>○ Develop and update checklist of lead information and data to acquire during implementation</li> </ul> </li> <li>• Quality monitoring is required <ul style="list-style-type: none"> <li>○ to assess the adequacy, suitability, effectiveness and efficiency of ESMP implementation</li> <li>○ Include monitoring variables</li> </ul> </li> </ul> <p>Develop quarterly progress and monitoring report templates for all ESMP actions and their implementation to be filled out by responsible officers at landscape specific level, as well as district and provincial levels</p> <p>Annual reports submitted to GIZ for compliance with donor requirements</p> <p>ESM Team provides training on monitoring and reporting to PPMU and DPMU as part of first years' workshop</p>
<b>Addressed potential unintended negative impacts:</b>	<p>ESIA: See section 3.10 and corresponding ES risk description under PS1 in ESIA Table 17 for details.</p> <p>By developing a monitoring and reporting framework, unintended negative impacts can be identified and avoided or mitigated</p> <p>Poor performance, or non-adherence to safeguards, can be identified and rectified to avoid non-compliance during implementation</p> <p>There are currently no extant GOL monitoring mechanisms that might be drawn upon to support this work, although a Safeguards Information System is currently under development under the FCPF process (assumed to be operational by 2021).</p>
<b>Timeframe:</b>	<p>ESMP documents updated after data collection in the first two years of the programme.</p> <p>Ongoing ESMP management for the 9.5 years of the programme will require key point-person to support integrated vertical management of ESMP activities and to ensure they continue to be aligned with programme goals and activities that may change as programme begins.</p> <p>ESMP documents will be reviewed on an annual basis</p>
<b>Programme Inputs:</b>	<p>Key staffing and consultants positions as outlined in Section 6.3 and 6.4 above</p> <p>Annual training workshops as described in Section 7.2 above</p> <p>Database of baseline information (See ESMP Action 5: Data Collection)</p>
<b>Counterpart inputs:</b>	<p>NPMU - work with ESM Team and consultants to create monitoring and reporting forms</p>

	PPMU – work with ESM Team and consultants to train DPMU staff in monitoring and reporting; reporting on provincial level activities regularly DPMU – reporting on activities at district and village level regularly (See ESMP Action 5: Data Collection)	
<b>Responsible:</b>	GIZ and PMU at provincial and district levels, village group and village level from all departments and offices which engage with the project	
<b>Targets to monitor implementation:</b>		<b>Monitoring to assess effectiveness and efficiency:</b>
Monitoring system with target indicators set up alongside safeguards checklist Training held for DPMU and PPMU Checklist in place Report template developed ESMP Monitoring indicators updated after training and workshop process begins Monitoring includes compliance monitoring where all safeguards requirements are met according to safeguard policy statements		At least 50% of DPMU able to use system by the end of the first year, 85% success after year 2. All DPMU and PPMU have received training DPMU and PPMU are able to report effectively ESMP monitoring indicators adjusted after workshop process and data gathering commences Safeguard requirements are met within first three years of programme implementation according to safeguard reporting

## ESMP Action 1c: Capacity Building for PMUs on ESMP

<b>Objective: Ensure PPMU and DPMU can effectively work towards programme goals, while understanding FPIC process, gender mainstreaming and social inclusion, the IPP, and the national legal framework, in the local programme context.</b>	
<b>Action Instructions / Descriptions</b>	<p>ESM Team to develop safeguards training that includes the principals, requirements, and implementation of applicable safeguards.</p> <p>Start-up training workshops for ESM Team, PPMU and NPMU.</p> <p>District level training workshops for DPMU staff, and key counterparts involved in community interactions to train on ESMP actions and the performance standards</p> <p>Technical training on biodiversity (see Action 6: Biodiversity) and NTFP management</p> <p>Annual follow-up workshops to support DPMU in implementing ESMP actions.</p>
<b>Addressed potential unintended negative impacts</b>	<p>ESIA: See section 2.2 “programme counterparts” and ES risk description under PS4 and PS7 in Table 17 for details.</p> <p>Amongst GoL staff, there is limited awareness of safeguard policies (although country safeguard systems have been introduced and implemented by WB and ADB during the last decade, the exposure to these issues is uneven). Lack of trained staff to implement ESMP actions will limit the ability of DPMU to properly address the rights of marginalised peoples to equal participation</p> <p>Lack of access to materials, lack of ongoing support including training and post-training monitoring, and frequent personnel changes at provincial and district level result in fractured knowledge.</p> <p>Repeated, mentoring and participatory style capacity building to ensure understanding and impact of</p> <ul style="list-style-type: none"> <li>• deforestation-free agriculture</li> <li>• natural resource management</li> <li>• social inclusion principles (including meaningful consultation, gender and IPP)</li> <li>• legal frameworks (see Action 1d)</li> </ul>
<b>Timeframe</b>	Pre-start workshops to take place before programme implementation begins, thereafter annual workshops throughout the programme lifetime
<b>Programme Inputs</b>	<p>Pre-start training workshop at a national and provincial level, followed by training at a district level for DPMU.</p> <p>Annual safeguards workshops at a district level</p> <p>ESM Team and consultant costs</p>
<b>Counterpart Inputs</b>	<p>NPMU, PPMU and DPMU available to attend workshops</p> <p>Key counterparts from LWU and LFND at a district level to attend, as well as representatives from DOFI, DAFO and DONRE who are closest points of contact with local communities</p>
<b>Responsible</b>	ESM Team to develop and deliver training workshops
<b>Targets to monitor implementation</b>	<b>Monitoring to assess effectiveness and efficiency</b>
All target personnel attend training workshops Attendees gain improved knowledge, understanding and practical support to implement ESMP actions	<p>At least 90% of PMU attend training workshops</p> <p>Pre and post workshop assessments on basic concepts demonstrate at least 80% of attendants have improved understanding of safeguards process</p>

ESMP Action 1d: Legal Knowledge - Ensure compliance with standard operation procedures (SOP), guidelines and law enforcement

<b>Objective: To ensure quality of engagement and inclusive consultations during policy review, to gain benefits through strengthening capacity building in the legal framework, and to ensure effective implementation of standard operation procedures.</b>	
<b>Action Instructions/ Descriptions</b>	<p>In order to reinforce safeguards during the development, finalization and dissemination of programme SOP and guidelines, the programme and ESM Team is required to carry out the following:</p> <ul style="list-style-type: none"> <li>• At the policy development level (Output 1), supporting inclusive engagement during the mainstreaming of REDD+ into national and provincial SEDP:</li> <li>• Ensure that broad stakeholder participation from line ministries, including technical experts, is incorporated into the policy formulation, building on already completed consultations for Provincial REDD+ Action Plans</li> </ul> <p>Lessons learnt come from best practices of government, and Corporate Social Responsibility (CSR), drawing from best examples so as to guide the implementation process, addressing:</p> <ul style="list-style-type: none"> <li>• Anti-corruption</li> <li>• Doing business responsibly</li> <li>• Women's empowerment and gender equality</li> <li>• Public-private partnership</li> <li>• Information dissemination and supporting dialogue between programme staff and GoL stakeholders will be key to promoting legal knowledge</li> </ul> <p>In conjunction with the project's legal capacity building activities, the programme will conduct pre-and post- knowledge tests to assess the level of (for example) legal understanding of each of the participants. This action aims to help design and adjust training materials and a training methodology in order to reflect the actual training needs and to yield better results. The test will also be used as an indicator to monitor:</p> <ul style="list-style-type: none"> <li>• Improvement of legal knowledge over the programme period;</li> <li>• Individual interests and needs for legal knowledge strengthening;</li> <li>• Most importantly to ensure that participants have a good understanding of the legal framework, principles and requirements before passing their knowledge onto others at the provincial, district and village levels.</li> </ul> <p>To ensure inclusive dialogues at the implementation level, and the workshops to support information dissemination, there must also be:</p> <ul style="list-style-type: none"> <li>• Detailed lists of existing and planned concessions (including 1+4 arrangements) in district with indicative mapping (see Action 5: Data Collection)</li> <li>• Continued dialogue on the necessity of legal recognition (at all levels) of PLUP/VFMA.</li> <li>• FPIC and social inclusion actions that include all ethnic groups, women and poor population groups in order to help mitigate against land losses (Actions 2 &amp; 3)</li> </ul>
<b>Assessed potential unintended negative impact</b>	<p>A number of risks identified during the ESMP consultation process at a district and provincial level include:</p> <ul style="list-style-type: none"> <li>• Law enforcement and legal knowledge itself is dependent on the capacity of the local authorities, resulting in inconsistent application of the law</li> </ul>

	<ul style="list-style-type: none"> <li>Local authorities and villagers demonstrate an over-confidence<sup>4</sup> in their own understanding of the law and how it practically relates to their lives, however they are actually unable to explain even basic laws, or how these are implemented, and their actions indicate a level of misunderstanding.</li> <li>Lack of support for local government awareness raising and capacity building is a main source of risk to forests, therefore supporting information dissemination and exchange is the only mitigation strategy possible.</li> </ul> <p>The ESIA identifies the following risks in sections 3.2, 3.4 and 3.9:</p> <ul style="list-style-type: none"> <li>Failure to recognise “legal” or “semi-legal” deforestation through concessions of any type;</li> <li>PLUP (and VFMA) do not confer legal tenure security unless put into new laws and regulations;</li> <li>Risk that different district development plans incongruous with forestry objectives – integrated spatial planning may increase confusion if it is completed, then ignored.</li> <li>If not well implemented, people could lose access to land or natural resources that they have customarily used; (ERPD)</li> <li>Failure to recognize environmental values in local level land use planning (ERPD) and</li> <li>Failure to recognize high conservation value (HCV) areas during land use planning processes (ERPD);</li> </ul> <p>See ESIA ES risk description under PS4 and PS7 in Table 17 for details.</p>	
<b>Timeframe</b>	<p>Policy formulation addressed in first year(s) of programme implementation, reviewed annually subsequently</p> <p>Annual district level workshops and policy dialogue to continue throughout programme life</p>	
<b>Programme Inputs:</b>	<p>GIZ existing staff costs (legal expert already in team)</p> <p>Annual ESMP workshops as detailed in 7.2 above (provincial and district level)</p> <p>ESM Team to develop checklist for inclusive participation in policy development process (to accompany pre-planned programme activities)</p>	
<b>Counterpart inputs</b>	<p>PMU staff from provincial, district and national level to participate in workshops</p> <p>Key counterparts identified from MAF and MONRE and MPI at a national level, identified by NPMU</p> <p>Provincial level staff from PAFO, PONRE, PPIO, and their district counterparts</p> <p>Additional LWU and LFND counterparts at national, provincial and district level</p> <p>GoL target staff from legislative affairs division in each provincial department</p>	
<b>Responsible</b>	<p>NPMU to participate and identify key counterparts for participation</p> <p>PPMU and DPMU to participate in training workshops and</p> <p>ESM Team to develop training and materials supported by Curriculum Development Consultant</p>	
<b>Targets to monitor implementation:</b>		<b>Monitoring to assess effectiveness and efficiency:</b>

<sup>4</sup> Villagers and Officials are aware of the new laws, but have had little opportunity to really understand the contents, or how they can be disseminated and practically applied



<p>Key appointed personnel stay with programme for more than 2 years</p> <p>Participants in annual workshops demonstrate better understanding of legal knowledge</p> <p>Top-Down mentoring and support results in better understanding and even implementation of activities across programme area</p>	<p>Workshop attendance lists record the extent to which personnel are staying with the programme</p> <p>Pre and post-testing questionnaires for workshop attendees indicates at least 60% of participants feel that information is supporting their work</p> <p>After three years of programme life, 60% of DPMU staff are able to identify an individual who provides them with support.</p>
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## ESMP Action 2: Ethnic Groups

<b>Objective: To ensure all activities meet ethnic groups and indigenous people's guidelines<sup>5</sup>.</b>	
<b>Action Instructions/ Descriptions</b>	<p>Engage IPP consultant as identified in 7.4 above. For each site specific plan:</p> <ul style="list-style-type: none"> <li>• Follow the Ethnic Group Development Planning Framework (see ESIA Annex 3), where information will be collected on: <ul style="list-style-type: none"> <li>○ Description of ethnic groups present, including information on decision making processes, and baseline information about their social and economic conditions</li> <li>○ Description of activities to be conducted in the area</li> <li>○ Detail of the FPIC process (including proof of iterative discussions, and (if obtained) consent)</li> <li>○ Description of results of the consultations/ FPIC, including: positive and negative impacts expected from the program, preferred grievance redress mechanism</li> <li>○ Description of how consultations will continue throughout programme implementation</li> <li>○ Where applicable, identified mitigation measures for potential negative impacts</li> <li>○ Monitoring and reporting</li> </ul> </li> <li>• Conduct IPP screening and checklist</li> <li>• Develop safeguards indicators that reflect IP safeguards policy requirements. Main indicators should include but not limited to the following: (i) consultation and communication in a language that the ethnic understand, (ii) secure access to land forest and NR, especially ancestral land and spiritual sites, (iii) active participation in programme activities and in gaining programme benefits, (iv) special measure towards the landless and vulnerable in accessing/gaining programme benefits</li> <li>• Ensure careful records are kept of all village interactions, and all district and provincial meetings, including breakdown by ethnicity and gender (also key for FPIC and social inclusion work; ESMP Action 3&amp;4)</li> <li>• Meaningful consultation to be conducted at village level to enable participants to opt-out of programme activities (FPIC, Action 3)</li> <li>• Small group meetings at a village level, with appropriate translators or ethnic language speakers, with village groups split by gender, to discuss potential impacts of programme activities, both positive and negative, before the commencement of said activities. Clear records must be kept demonstrating this consultation has taken place.</li> </ul> <p>It is key the program:</p> <ul style="list-style-type: none"> <li>• Assesses whether forest protection activities will have any negative impacts on ethnic people's ability to gather NTFPs for domestic or commercial use, and ensure continued access to land, forest and natural resources to avoid income loss and to ensure food and nutrition security.</li> </ul>

<sup>5</sup> A separate Ethnic Groups Development Plan (in compliance with the GCF's IPP) that includes information on ethnic groups in the programme areas, associated issues, and proposed mitigation measures, is developed to be implemented together with ESMP Action 2.

	<ul style="list-style-type: none"> <li>• Promotes a participatory approach that builds local capacities and gives them increased ownership over processes, allowing communities to identify cultural heritage sites/ areas of intangible cultural importance, customary land use and ultimately ensure land use plans are suitable for their local interest and contexts</li> <li>• Respects ancestral and spiritual land and forest use and remain sensitive to customary use of land by the community, especially ethnic groups, and ensure rights remain to conduct ritual ceremonies (that often take place in the forest).</li> <li>• Considers traditional or ethnic land use classifications in the participatory land use planning process.</li> <li>• Ensures men, women, poor households, and members of different ethnic groups (if mixed-communities) are effectively consulted, ensuring marginalized persons have a voice</li> <li>• Provides repeated mentoring and participatory capacity building.</li> <li>• Builds up capacities of government and program staff to implement participatory processes, ensuring that suitable, inclusive and culturally appropriate, as well as gender and ethnically sensitive approaches are applied.</li> </ul> <p>Through participatory land use planning the program must also ensure that there is sufficient land for agricultural interventions (including intensive agriculture and/or sustainable rotational agriculture as preferred by local villagers). Some communities will want to maintain land for rotational traditional practices, and they should only reduce shifting cultivation practices on a voluntary basis. Thus, the role of participatory practices is key to build local ownership over land use plans and village forest management agreements. Research and regular knowledge exchange should be conducted on best practices for rotational agriculture, agroforestry and livelihood diversification, and there should be regular exchange at the district, provincial and national level to reflect on lessons learned, experiences and best practices.</p> <p>In case contractors or project staff discover archeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavation or construction, the chance finds procedure should be followed (see Annexure 3 of the ER Programme's ESMF, included within Annex 12 to the ESIA).</p> <p>Preservation and respect of indigenous/ ethnic knowledge, including traditional knowledge and use of medicinal plants</p> <p>All programme activities must provide access to information in appropriate ethnic languages, at the very least providing a translator for meetings.</p> <p>Information dissemination campaigns must make use of images, cartoons, drawings, as well as clear and simple language, to support the comprehension for those who are less literate.<sup>6</sup></p>
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<sup>6</sup> Ensure effective communication/training material. The programme will develop visuals and media materials that focus on the real-life situation in the targeted villages. Such media will make use of photos and/or drawing/sketch of the forest, landscape and people living in the targeted villages. When the training is conducted, the programme will focus on in-depth understanding of policy objectives, and will "adjust" explanations of forest policy statements in the local languages of the ethnic groups as needed. This will ensure mutual understanding and practical implementation as well as an awareness of programme information, valuable trees and plants species, endangered and/or near extinction species, including the high market demand of NTFPs to promote informed choices in sustainable forest management.

<b>Addressed potential unintended negative impacts</b>	<p>The programme must minimize, mitigate and compensate appropriately when programme activities impact on ethnic groups rights, regardless of whether there is a legal recognition of land titles, resources and territories</p> <p>If the programme supports activities that could potentially restrict ethnic groups use of bush fallows for future upland cultivation there must be consultation to ensure that FPIC has been obtained</p> <p>Another of the GCF Policy objectives in relation to land states: <i>To promote and respect indigenous peoples' rights to own, use, develop and control the lands, territories, and resources that they possess by reason of traditional ownership or other traditional occupation or use, as well as those that they have otherwise acquired.</i> This, of course, relates to respect for ethnic people's management of lands and resources, including their traditional knowledge in this management. The programme has yet to make clear how it will do this in light of the restrictive policies, including definitions of RV and potential forest (bush fallow).</p> <p>Failure to recognise areas of cultural value.</p>	
<b>Timeframe</b>	Throughout the life of the project	
<b>Programme Inputs:</b>	<p>ESM Team</p> <p>IPP Consultant</p> <p>FPIC activities (see ESMP action 3)</p> <p>Social Inclusion activities (Action 4)</p> <p>Graphic designers to work with programme staff to make documentation available for less-literate people</p> <p>Funds for translators if district staff do not have necessary skills for translation</p>	
<b>Counterpart inputs</b>	<p>District staff with local language skills to be made available (as discovered in ESMP action 5)</p> <p>PPMU and DPMU support</p>	
<b>Responsible</b>	NPMU responsible with support from Social and environmental safeguards technical working group	
<b>Targets to monitor implementation:</b>		<b>Monitoring to assess effectiveness and efficiency:</b>
<p>All programme documentation disseminated to communities to be available in multiple languages and/or in visual formats suitable for less-literate communities and sections of the population.</p> <p>All community meetings to have translator/interpreter available to support communication.</p>		Villagers are asked about their comprehension after community meetings. At least 80% of attendees are able to self-assess positive understanding.
Records are kept of every meeting.		Report forms are filled out accurately after 80% of meetings in the first year, with accurate reporting done in 95% of meetings by end of year 2.
Villagers are able to express concerns or grievances, and have them answered within a reasonable timeframe.		Community questions and grievances are responded to within 4 weeks.

## ESMP Action 3: FPIC Process

<b>Objective:</b> <ul style="list-style-type: none"> <li>• To achieve broad community consent and support</li> <li>• To ensure all programme participants actively participate in the FPIC process, and that it is well documented throughout the life of the project</li> </ul>	
<b>Action Instructions/ Descriptions</b>	<p>Key elements of the FPIC process have been provided in the FPIC guidelines from the FPIC in REDD+: Principles and Approaches for Policy and Project Development.<sup>7</sup></p> <p>The implementation of a FPIC process is methodologically solicited through consultation and the participation of all local institutions and communities in all stages of the programme cycle, starting from the initial programme design.</p> <ul style="list-style-type: none"> <li>• Records are kept of all FPIC processes and results, and maintained in a database for continued tracking throughout the programme life. The process flexibility helps build trust and mutual understanding among all stakeholders involved.</li> <li>• FPIC process streamlined into the wider programme management structure – all targeted 28 communities should participate in the FPIC process to ensure broad community support</li> <li>• FPIC is precondition for starting any activity</li> <li>• Engage an external FPIC consultant to support streamlining across programme</li> <li>• Provide adequate, transparent, clear and comprehensive information about potential risks and benefits of participating in the programme. This information must include both benefits and risks to beneficiaries in terms of access to land, forests, NTFPs, and other livelihood options, as well as income possibilities</li> <li>• Programme communication must be in languages that participants understand</li> <li>• Consulted communities must be given sufficient<sup>8</sup> time to absorb information and discuss amongst themselves free from intervention by GoL and/or programme staff, and allowed to come to their own decision on whether to participate</li> <li>• If the community is hesitant, or feels the that the information is insufficient, the programme can go through ‘good-faith’ negotiation to provide further documentation to allow them to make a fully informed decision</li> <li>• Database of records created to record and monitor ongoing consent amongst all participants at a community level, with care given to ensure participation by ethnic peoples, women, and other socially disadvantaged people</li> <li>• Integrating grievance structure into the process</li> </ul>
<b>Addressed potential unintended negative impacts</b>	<p>In order for REDD+ projects and activities to have local credibility, the negotiation of lasting agreements on the use of resources has to recognize both the rights of ethnic groups and those of local communities who depend on a particular forest area for their livelihoods. Not doing so may lead to conflict or inequitable outcomes where established livelihood practices and access to resources are altered or denied.</p> <p>The FPIC process, and the following social inclusion ESMP action, will support villagers to clearly understand programme aims, and mitigate against the possibility of</p>

<sup>7</sup> Information on FPIC in REDD+ contexts:

[https://redd.unfccc.int/uploads/2\\_74\\_redd\\_20130710\\_recoftc\\_free\\_2C\\_prior\\_2C\\_and\\_informed\\_consent\\_in\\_reddplus.pdf](https://redd.unfccc.int/uploads/2_74_redd_20130710_recoftc_free_2C_prior_2C_and_informed_consent_in_reddplus.pdf)

<https://www.unredd.net/documents/un-redd-partner-countries-181/templates-forms-and-guidance-89/un-redd-fpic-guidelines-2648/8717-un-redd-fpic-guidelines-working-final-8717.html?path=un-redd-partner-countries-181/templates-forms-and-guidance-89/un-redd-fpic-guidelines-2648>

<sup>8</sup> This means not requesting an answer about consent on the same day that the information is provided to the community. The exact timeframe for a return visit should be discussed with the community during the information dissemination.

	<p>unintended negative impacts (see ESIA Section 6.2.1) as villagers will provide their consent and ongoing interest in pro programme ject activities.</p> <p>FPIC will also mitigate against many activities that can have unintentional negative impacts, such as: Sustainable Forest Management activities and law enforcement affecting access to places of cultural heritage significance; Participatory Land Use Planning process leading to insufficient allocation of arable land; restriction in access to customary land uses for NTFP collection or any other food security and income generating activities.</p> <p>During the ESMP community consultations, villagers in three target villages acknowledged that they frequently lacked understanding of overall programme goals in the beginning of the programme process. In the case of land use planning, the uncertainty about what the results of the programme would be resulted in villagers making land use choices based on misinformation. A specific example from land use planning project in Houaphan Province is that villagers initially identified an area for village forest conservation area based on their fears that the GoL would use areas that had not been selected for conservation forest as potential lands for external investors. This resulted in the village not identifying the most suitable area for conservation as conservation forest, a situation they now would like to rectify as programme aims are better understood.</p>
<b>Timeframe</b>	<p>The FPIC process must be implemented in each community and be site-specific to the landscape it applies for before programme activities commence in that area.</p> <p>The FPIC database to be set up in the first year, with ongoing meaningful community consultation<sup>9</sup> and social inclusion engagement activities including monitoring and maintenance throughout life of the programme</p> <p>FPIC consultations to be continued in annual site-specific workshops</p>
<b>Programme Inputs</b>	<p>FPIC Consultant</p> <p>Database designer to create database</p> <p>ESM Team to support consultants</p> <p>Support Training for PPMU and DPMU</p> <p>Support DPMU access to each community in 28 districts</p> <p>Annual district workshops for lesson sharing</p> <p>Ongoing programme staff costs</p>
<b>Counterpart inputs</b>	<p>PMU at national, provincial and district level to participate in meetings, and support data collection</p> <p>DPMU to engage in data collection with support from ESM Team and consultants</p> <p>Mass organisations support for implementing FPIC process (as done in Huaphan)</p> <p>CSOs (See ESIA section 2.2) strengthened by programme through capacity building</p>
<b>Responsible</b>	<p>NPMU has overall responsibility to manage FPIC process with GIZ support</p> <p>PPMU and DPMU will implement the FPIC process at a community level after training from ESM Team and FPIC consultant</p>
<b>Targets to monitor implementation</b>	<b>Monitoring to assess effectiveness and efficiency</b>

<sup>9</sup> Corporate Social Responsibility in Lao PDR: Baseline Assessment of Social and Environmental Regulations & Standards: <https://www.giz.de/en/downloads/giz2015-en-corporate-social-responsibility-laos.pdf> and from WB and/or ADB

<p>Targeted communities receive information, and are making informed decision about participation, as demonstrated through the FPIC database, which is set up and maintained</p> <p>Annual workshops on social inclusion and FPIC process, including grievances, at site-specific areas</p> <p>FPIC has generated documents of consent that can be audited on request</p>	<p>Annual FPIC reports on database</p> <p>Additional annual monitoring will be conducted with system set up in Action 1 against target indicators</p> <p>100% of community based programme activities implemented can demonstrate participation in the FPIC process, with broad consent being achieved from the community</p> <p>Programme can identify communities which have not given consent for community-based activities.</p>
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## ESMP Action 4: Social Inclusion and Meaningful Consultation

<b>Objective: To follow the FPIC process to engage programme participants at a village and landscape level in meaningful consultations to ensure that gender, ethnicity, poverty, and other socio-economic disadvantaged and vulnerable people are integrated into all programme planning and implementation phases</b>	
<b>Action Instructions/ Descriptions</b>	<p>Creating a Social Inclusion Action ensures holistic integration of all aspects within the programme framework and limits the possibility of fragmented and “silo” implementation approach.</p> <p>Meaningful consultation at a village level is the only effective tool to adequately engage with communities and to ensure sustainable participation.</p> <p>It is a process that follows on and continues the work begun by FPIC, as such it (i) begins early in the programme preparation stage and is carried out on an ongoing basis throughout the programme cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as programme design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.<sup>10</sup></p> <p>All programme activities must consider the gender, ethnic, and socio-economic factors that can limit participation ability at a local level. An example of this could be separate meetings for men and women or smaller village groups with different language speakers, specifically targeting poorer households etc.</p> <p>All programme activities must provide documentation that will be developed by the ESM Team to show that data collection, participation, implementation and monitoring have been disaggregated by gender, ethnicity and socio-economic levels. This information will be included in the ESMP database</p> <p>Annual workshops at a district level will be held to present the results of meaningful consultation, share information, and allow participatory approaches and knowledge dissemination for all participants.</p> <p>The meaningful consultation process enables DPMU to move beyond traditional official communication lines of engaging only with village authorities and enables a broader range of community voices to be heard.</p>
<b>Addressed potential unintended negative impacts</b>	<p>Risks of unequal participation and benefits, for example, “elite capture”,<sup>11</sup> (ERPD)</p> <p>Poor people are amongst the most risk averse, have less threshold for trialing new activities, are more likely to be disadvantaged in terms of access to GoL or programme services due to, for example, distance, poverty, language, educational attainment levels, etc.</p> <p>Language and cultural differences can create misunderstandings and reduce cooperation and participation in activities.</p> <p>Separate gender and ethnic group development plans and actions although essential for highlighting risks and mitigation strategies can result in less integration of these</p>

<sup>10</sup> <https://www.adb.org/sites/default/files/institutional-document/32056/safeguard-policy-statement-june2009.pdf>

<sup>11</sup> See ER-PD’s resettlement policy framework (included in Annex 13 to the ESIA)



	<p>activities within the overall programme structure as they are seen to have been addressed in separate documents.</p> <p>Time pressures, from planning and consultation to implementation, do not enable participants to adequately absorb, consider, question and respond to the information provided.</p> <p>ESIA: See section 6.2.1 and corresponding ES risk description under PS5 in ESIA Table 17 for further details.</p>
<b>Timeframe</b>	Throughout the programme life (9.5 years) including with annual district workshops.
<b>Programme Inputs:</b>	<p>ESM Team costs</p> <p>FPIC expert consultant support</p> <p>Database design consultant</p> <p>Data collection expert consultant</p> <p>District and provincial level trainings</p> <p>District annual workshops for PPMU and DPMU alongside additional mass organization staff who provide outreach to local communities</p>
<b>Counterpart inputs</b>	<p>NPMU to provide support and facilitate communication</p> <p>PPMU and DPMU to support implementation of programme activities, including data gathering, after participating in training workshops</p> <p>Ongoing participation at annual workshops</p> <p>Mass organizations to be invited to participate in workshop process</p>
<b>Responsible</b>	GIZ, NPMU, PPMU and DPMU, supported by GoL counterparts at all levels (Agriculture and Forestry, Natural Resources and Environment, Planning and Investment, Lao Front, Lao Women's Union) as well as village committee members
<b>Targets to monitor implementation:</b>	<b>Monitoring to assess effectiveness and efficiency:</b>
<p>Participation in training workshops for PPMU and DPMU is 90% over the programme lifetime</p> <p>Workshop process supports DPMU and other partners involved in village outreach and community consultation work.</p> <p>Consultation occurs in each village and each programme site, with records demonstrating details such as participants, location and time.</p>	<p>Training workshop attendance lists with number of PPMU and DPMU representatives attended</p> <p>Annual post-workshop questionnaires indicating 80% participants satisfied with information disseminated and that 80% of participants feel information is relevant and useful for their practical work.</p> <p>Consultation records and minutes demonstrating increased participation from women (an increase in participation by presence by 50% over programme life; increase in active-vocal participation by 20% over programme life), and ethnic people (records disaggregated by gender and ethnicity).</p>

## ESMP Action 5: Data Collection and Information Dissemination

<b>Objective: To support data collection throughout the programme area that can be used for adaptive management, monitoring and evaluation</b>	
<b>Action Instructions/ Descriptions</b>	<p>The ESIA (in section 3.10.3) noted gaps in available data that can affect the programme's ability to implement and monitor activities.</p> <p>Conducting baseline and other data gathering activities at the beginning of the programme lifetime will ensure not only a comprehensive baseline for monitoring, but will also support capacity building and awareness raising on environmental and legal issues for all the programme personnel.</p> <p>As discussed in Section 6.4 Task Specific Consultants, database and data collection consultants will be engaged to support data collection and management, as will be a specific consultant for NTFP survey.</p> <p>Database designed by consultant to facilitate data management for programme lifecycle. This database will also support monitoring of Action 3: FPIC and Action 4: Social Inclusion.</p> <p>Database designed by consultant to facilitate data management for programme lifecycle. This database will also support monitoring of Action 3: FPIC and Action 4: Social Inclusion</p> <p><b>Community-level data collection:</b></p> <ul style="list-style-type: none"> <li>• Rapid self-assessment to produce a village profile, which consists of baseline socio-economic information to be completed in each community.</li> </ul> <p><b>District-level data collection:</b></p> <ul style="list-style-type: none"> <li>• Credit availability for farming households and the extent to which those who have access to these financing facilities actually use them.</li> <li>• District staffing levels should be surveyed, including assessing skill levels of district staff and volunteers, as well as ethnic language capabilities.</li> <li>• District programme directory, which lists the agriculture and forestry projects in a given area, and provides details about beneficiaries, and GoL staff working on the programme to aid coordination and avoid duplication.</li> </ul> <p><b>Provincial-level data collection:</b></p> <ul style="list-style-type: none"> <li>• Land tenure and titling survey to uncover the extent to which land titling has happened in the different districts.</li> <li>• Economic investment survey in site-specific areas, to uncover the extent to which large-scale economic investment is planned in the GoL SEDPs, and to assess the impact on land and local environments to monitor land-use conflicts.</li> <li>• District and Provincial level resettlement and relocation surveys to uncover the extent to which villagers may be moved for administrative or investment purposes (including villages, which may lose access to land, but will not have to move household buildings).</li> <li>• Updating provincial land use maps, some of which have not been updated since 1995.</li> </ul>

	<b>Landscape-specific data collection:</b> <ul style="list-style-type: none"> <li>Ecosystem (value ecosystem component) study to support NTFP inventory in the four distinct landscapes, which will highlight what is available locally (see Action 6: Biodiversity).</li> </ul>	
<b>Addressed potential unintended negative impacts</b>	<p>Socio-economic data is lacking at all levels. Available data is insufficient for monitoring purposes, especially for external risks and managing safeguards.</p> <p>Land titling and tenure process is unevenly implemented resulting in different levels of local understanding of PLUP processes.</p> <p>Insufficient information about economic investments in private sector including large-scale agricultural projects, and other investments that require land use allocation. This directly influences the structure of current value chains in the areas</p> <p>GoL plans for village consolidation and/or relocation can make substantive changes in programme activities.</p> <p>Programme activities require support from GoL at all levels and across multiple departments, including but not limited to technical knowledge, local knowledge, ethnic languages and practical experience.</p> <p>The programme needs to understand the extent to which farming households have access to credit facilities, and if they are actually using those. If so, they might have potential access to PLUP and SFM activities, which in return could affect customary land usages negatively if competing land uses from concessions for mining, hydropower, roads, etc., are not monitored.</p> <p>A district programme directory can ensure that programme activities are not duplicated, which is especially important given the limited number of available skilled staff at district and provincial level</p>	
<b>Timeframe</b>	<p>All baseline data should be collected within first 18 months of programme commencement</p> <p>Landscape specific data collection to support biodiversity protection to occur before forest protection activities commence</p>	
<b>Programme Inputs</b>	<p>Database design consultant and data collection consultant</p> <p>EMS Team</p> <p>Transport for DPMU to visit each village for FPIC and Village profile work</p> <p>Support DPMU to work with Village Forestry to collect information on NTFP collection by villagers in terms of types and amount to predict impacts</p>	
<b>Counterpart inputs</b>	<p>PPMU to coordinate relevant GoL counterparts to self-report on various capabilities such as access to credit facilities, district ethnic language skills, investment surveys and resettlement plans<sup>12</sup></p> <p>PPMU to support landscape-specific NTFP survey work</p> <p>DPMU to engage in participatory socio-economic and village profiling work</p>	
<b>Responsible</b>	GIZ and PMU at national, provincial and district level	
<b>Targets to monitor implementation</b>		<b>Monitoring to assess effectiveness and efficiency</b>
Completion of target baselines and additional surveys within first two years of project		<p>Assessment of completed baselines and surveys</p> <p>Annual monitoring will be conducted with system set up in Action 1 against target indicators</p>

<sup>12</sup> See ER-PD's resettlement policy framework for more information.

## ESMP Action 6: Biodiversity

<b>Objective: To disseminate information on ecosystem service to avoid impacts on biodiversity<sup>13</sup></b>	
<b>Action Instructions/ Descriptions</b>	<p>To ensure maintenance of benefits from ecosystem service<sup>14</sup></p> <p>Consultant team to conduct the baseline studies of ecosystem service and Valued Ecosystem Components (VECs)</p> <p>Support data collection on landscape specific forests and natural resource areas (see Action 5: Data Collection)</p> <p>Support training for provincial and district technical staff to better understand biodiversity protection (for example when they promote rubber or banana plantations as environmentally neutral) (See Action 1c: Capacity Building)</p> <p>Awareness raising on danger of harmful substances including pesticides and herbicides<sup>15</sup> – in the context of FFS or programme partners who promote intensive agriculture that improves household food security (ESMP Action 7: Health and Safety and ESMP Action 9: Partner Screening)</p> <p>Awareness raising of the importance of biodiversity protection and conservation for Sustainable NTFP production village/landscape level</p> <p>Strengthening forest protection and forest management strategies – village/landscape/district level</p> <p>Preserving forest resources for overall national and provincial benefit</p> <p>Biodiversity must be:  considered in boundary demarcation at provincial, district and village level  included in every type of land use planning especially in forest management planning, integrated into FFS training curriculum,  considered when planning for business partnership screening amongst SME</p>
<b>Addressed potential unintended negative impacts</b>	<p>Forest classification which occurs at a local village level does not take into account forest science and biodiversity contents</p> <p>GoL policies can focus on GDP and income generation at the expense of protecting natural biodiversity in the different landscapes</p> <p>Sustainable Forest Management and law enforcement may affect customary land uses and be inappropriately restrictive</p> <p>Turning the RV categories of land into plantations may reduce biodiversity without careful information (See ESMP 5: Data Collection)</p>
<b>Timeframe</b>	Before PLUP activities commence, the baseline studies of ecosystem service have to be carried out
<b>Programme Inputs</b>	<p>Biodiversity studies</p> <p>ESMP costs as above (workshop process, ESM Team)</p>
<b>Counterpart inputs</b>	<p>GOL counterparts</p> <p>FFS operators</p>

<sup>13</sup> ProCEED in Laos – <https://www.giz.de/en/worldwide/66110.html>

<sup>14</sup> Forest biodiversity monitoring for REDD+: <https://www.ncbi.nlm.nih.gov/pubmed/24178126>

<sup>15</sup> Lao Decree on Pesticide Management: <http://laoofficialgazette.gov.la/kcfinder/upload/files/Lao-Pesticide-Decree-English-final.pdf>

Targets to monitor implementation:	Monitoring to assess effectiveness and efficiency <sup>16</sup> :
<p>All participants level the overall concept of ecosystem services.</p> <p>Ecosystems services checklist was developed</p>	<p>Recording of participants and results of awareness program</p> <p>Forest management practices that harm.</p> <p>Ecosystems services are not continued.</p>

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<sup>16</sup> Participatory Forest Monitoring: [https://www.cifor.org/publications/pdf\\_files/Books/BGuariguata0801.pdf](https://www.cifor.org/publications/pdf_files/Books/BGuariguata0801.pdf)

## ESMP Action 7: Health and Safety

<b>Objective: Ensure all programme counterparts, staff, participants, beneficiaries and consultants are not exposed to potentially hazardous material (including UXO) in the course of their work for this project</b>	
<b>Action Instructions/ Descriptions</b>	<p>A) Follow the Pesticide Management Framework (see ESIA Annex 10),</p> <p>Support PPMU and DPMU to:</p> <p>Identify types of chemicals frequently used by communities at the programme sites</p> <p>Promote awareness of chemical affects and hazards of over-use through trainings at the FFS</p> <p>Support dissemination of information on chemical use and handling in agriculture</p> <p>Support dissemination of legal standards on chemical use in agricultural practices in Laos</p> <p>Promote environmentally friendly value chains, ensure business partner screening includes due diligence checks into potential business partners environmental policies and practices (ESMP Action 9: Partner screening)</p> <p>Provide awareness of alternative agricultural techniques (organic?), and the associated markets for these crops</p> <p>B) Comply with preventative procedures with regards to UXO</p> <p>The most effective preventative measure has been improved access to information about where UXOs have been cleared, and where UXOs may still be present in the ground. The Provincial Governors Office and district authorities are making maps available for this purpose, which GIZ and other development partners have free use of. In case an area is not yet cleared, the program can request clearance from the UXONRA, which requires approximately a 12-month planning window for clearance work. The program will comply with preventive procedures put in place by the Lao PDR Government, which means that program sites will need to be confirmed clear of UXO before any activities can be undertaken.</p>
<b>Addressed potential unintended negative impacts</b>	<p>High pesticide use; unregulated chemical use (without understanding of proper application techniques and doses)</p> <p>Continued environmental risks from irrigation systems, cash crops, fodder and livestock production systems, including from use of pesticides (ERPD)</p> <p>Promoting agriculture can potentially lead to villagers using harmful pesticides or herbicides</p> <p>Villagers in all three villages visited during the ESMP consultations (One village each in Oudomxay, Sayabouli and Houaphan) mentioned the issue of unregulated and excessive chemical use. All of the visited villages expressed their concerns on relying on the use of chemical products to boost agriculture production, which have resulted in land degradation. They also expressed their dislike of having mono-culture in the areas.</p> <p>Risk of accidents caused by disturbing previously undetected UXO</p>
<b>Timeframe</b>	<p>Entire programme duration</p> <p>Annual workshops at district level</p> <p>Annual monitoring reports</p>

<b>Programme Inputs and costs:</b>	Hire consultant to conduct study on chemical use (data gathering?), and produce a checklist for monitoring this usage throughout programme life COST OF STUDY? Existing Staff costs and ESMP workshop structure DPMU and PPMU to implement activities	
<b>Counterpart inputs</b>	DAFO, DoNRE support for consultant and activity implementation Representatives from LWU and LFND to support work UXO Lao staff as needed	
<b>Responsible</b>	GIZ and PAFO, PoNRE	
<b>Targets to monitor implementation:</b>	<b>Monitoring to assess effectiveness and efficiency:</b>	
Study on chemical usage completed, monitoring checklist implemented in all districts  UXO clearance maps obtained prior to any program activity being initiated; UXO Lao providing clearance support as needed	Participants at FFS demonstrate improved understanding from pre- and post-testing questionnaires on chemical use, spot random testing in FFS to ensure compliance  All program activities to include UXO clearance maps as part of activity-level documentation prior to commencement	

## ESMP Action 8: Strengthening the EPF's Safeguards Capacity

<b>Objective: To Strengthen the EPF's Environmental and Social Management System (ESMS)</b>		
<b>Action Instructions/ Descriptions of mitigation</b>	<p>EMS Team to support EPF to:</p> <p>Strengthen institutional level ESMS to manage unanticipated risks that may arise</p> <p>Strengthen the EPF's institutional capacity, including developing specific guidelines to safeguard its operations in compliance with international standards</p> <p>Enable the EPF to support the implementation of this ESMP's Action and documentation for safeguards on ethnic peoples.</p> <p>Assist programme to develop selecting criteria, requirements, and standards for EPF application.</p> <p>Assist/check safeguards screening for all of the project's activities financed through the EPF and work closely with each proposal developer and the EPF to ensure that safeguards categories are appropriately assigned and that mitigation measures are included according to GCF, IFC and GIZ Safeguards principles and requirements. Any proposals that could classify as safeguards category A will be rejected.</p>	
<b>Addressed potential unintended negative impacts</b>	<p>The GAP analysis on the EPF found that the EPF's ESMS needs strengthening in order to reach the GCF standards.</p> <p>ESIA: See corresponding ES risk description under PS1 in ESIA Table 17 for details.</p>	
<b>Timeframe</b>	<p>Trainings for EPF in year 1 and 2</p> <p>Continued supervision and "on the job" learning throughout the programme, using actual payment proposals as examples.</p>	
<b>Programme Inputs</b>	ESM Team	
<b>Counterpart inputs</b>	EPF staff	
<b>Responsible</b>	ESM Team	
<b>Targets to monitor implementation:</b>	<b>Monitoring to assess effectiveness and efficiency:</b>	
<p>Updated guidelines and procedures</p> <p>Trainings for EPF staff conducted</p> <p>Database developed to track EPF activities and safeguards performance</p>	<p>All EPF proposal are screened and proper mitigations measure developed.</p> <p>EPF activities are in compliance with safeguards policies.</p> <p>EPF achieves GCF accreditation as a direct access entity (sufficient ESMS a requirement.</p>	



## ESMP Action 9: Business Partner Screening

<b>Objective: Ensure the programme partners with businesses that are able to apply social and environmental governance in their commercial operations</b>		
<b>Action Instructions/ Descriptions of mitigation</b>	<p>Develop a screening procedure for potential business partners (enterprises) to be developed by the ESMP Team, including scrutiny of the following issues:</p> <ul style="list-style-type: none"> <li>- Does the enterprise implement projects or engages in practices that have a negative impact on the environment and/or local people?</li> <li>- Has the enterprise capacity in-house to identify, analyse, control and reduce any unintended negative impacts on environment or local people?</li> <li>- Does the enterprise support equal participation in activities through social inclusion strategies, ethnic people's plans, gender awareness, or pro-poor policies?</li> <li>- Is the enterprise politically engaged through its management for example working for district or provincial government departments?</li> <li>- Does the enterprise have a rigorous and transparent financial management system, including anti-corruption policies, code-of-conduct, code-of-ethics, and zero tolerance of fraud?</li> <li>- Does the enterprise require additional infrastructure or promote other activities with adverse trade-offs, such as feeder roads to fields which could contribute to deforestation and forest degradation?</li> <li>- For timber and agriculture related activities, does the enterprise practice green, clean and diversified crops and not monoculture activities? Are there any risks that the enterprise could require conversion of natural forests to other uses?</li> </ul> <p>Does the enterprise have a clear policy on the use of pesticides, herbicides, fungicides or other potentially hazardous chemicals in their activities?</p>	
<b>Addressed potential unintended negative impacts</b>	<p>Programme may unknowingly cooperate with business partners that knowingly or unknowingly are engaged in unethical or harmful activities (for example promote agriculture in such a way that leads villagers to use increased amounts of chemicals, to use chemicals in an unsafe manner, or to use chemicals that are illegal under Lao law).</p> <p>The use of hazardous material has implications for ESMP Action 7 on Health and Safety, and ESMP Action 6 on Biodiversity.</p>	
<b>Timeframe</b>	Implement partner screening before entering into agreements with potential (agri-business) partners	
<b>Programme Inputs</b>	NPMU and PPMU – agri-business advisor ESM Team	
<b>Counterpart inputs</b>	PPMU	
<b>Responsible</b>	PPMU Agri-business advisor	
<b>Targets to monitor implementation</b>	<b>Monitoring to assess effectiveness and efficiency</b>	
Partner screening checklist created.	All potential partners have completed checklist before entering into agreement with project.	

## ESMP Action 10: Risk Related to Climate Change Impacts

<b>Objective:</b> <ul style="list-style-type: none"> <li>• <b>Safeguard programme outcomes and impacts from external risks related to climate change</b></li> <li>• <b>Avoid unintended negative impacts on the resilience of people and communities participating in the programme and ecosystems affected by the project</b></li> </ul>	
<b>Action Instructions/ Descriptions of mitigation</b>	<p>The following adaptation options were identified:</p> <p>For forest ecosystems:</p> <ul style="list-style-type: none"> <li>- Include climate-induced stressors in forest monitoring including national forest inventories.</li> <li>- As part of management plans, forest landscape restoration activities, and improved protected area management promoted by the programme under Output 3, include wild fire management measures</li> <li>- Promote establishing corridors between ecosystems in order to support connectivity and natural resilience (part of FLR)</li> <li>- Support protection and sustainable management of forested watersheds</li> </ul> <p>For agriculture:</p> <ul style="list-style-type: none"> <li>- Support to dry-season irrigation schemes, in Output 2 in partnership with ADB</li> <li>- Capacity building and training on sustainable water harvesting techniques and reducing water needs through crop mix in partnership with ADB, FAO, and IFAD.</li> <li>- Promotion of diversification in agriculture (opposed to increasingly prevalent monoculture land-use in the Northern provinces).</li> <li>- Inclusion of flood and drought-resilient crops and varieties. This can mainly be applied for rice, where ample experience exists in the region (esp. Thailand and Vietnam). For other supported cultivation plants, including cardamom and Non-Timber Forest Products, little research on climate risks was found to be available. The programme should undertake a more comprehensive stocktaking of the available research when it commences activities.</li> <li>- The programme can promote risk mitigation processes, including, for example, reducing shifting cultivation and increasing vegetative cover on slopes and in upland areas in order to help reduce erosion and sedimentation that contribute to riverbank cutting and riverbed rise downstream, as well as landslides in steep areas.</li> <li>- Capacity building for farmers on sustainable pest and disease management</li> <li>- Land use planning can help improve land use practices, including reducing exposure to hazards (e.g. identifying high-risk areas for landslides, flooding, etc.), and can support the planning, adoption and monitoring of sustainable land use processes that can help reduce risk (for example, increased forest cover can reduce the risk of flooding, landslides or wildfires in certain contexts).</li> <li>- Regular and comprehensive monitoring conducted within the framework of the programme at local level, including with various ethnic groups in order to benefit from their knowledge, can lead to early detection, follow-up and the identification of suitable management practices/adjustments as necessary.</li> </ul>
<b>Addressed potential unintended</b>	<p>See ESIA section 5.3.7</p>

<b>negative impacts</b>		
<b>Timeframe</b>	<p>See the Funding Proposal's implementation schedule, where some activities are integrated.</p> <p>At the beginning of the programme, update knowledge on potential climate impacts on agricultural crops and forest ecosystems, integrate monitoring-type activities in programme monitoring framework, update affected programme inputs to PLUP, SFM, FLR, and FFS accordingly (see ESIA 5.3.7 for details).</p> <p>After 4 – 5 years, update knowledge on potential climate impacts on agricultural crops and forest ecosystems.</p>	
<b>Programme Inputs</b>	NPMU and GIZ ESM Team	
<b>Counterpart inputs</b>	PPMU	
<b>Responsible</b>	ESM Team	
<b>Targets to monitor implementation:</b>	<b>Monitoring to assess effectiveness and efficiency:</b>	
<p>Findings of climate change impact study integrated in relevant programme activities (forest monitoring including national forest inventories; management plan guidelines for SFM,FLR, watersheds, PLUP guidelines</p> <p>Record of activities building resilience based on integrating the findings of the study (for example, climate impacts on landslides reflected in PLUP or resilience against forest fires in SFM)</p> <p>Note: ADB will implement their own resilience-building measures according to a separate vulnerability study.</p>	<p>Evidence of climate-friendly projects: Forest cover area and density increase as a result of programme activities (in all three forest categories)</p> <p>Collecting evidence of records of activities building resilience, for example small grants released to community in programme area</p>	

**ANNEX to the ESMP**  
**Site-Specific Information**  
**for**  
**Huaphan, Xayabouli & Oudomxay**

**for the Programme**

**“Lao PDR Emissions Reduction Programme through Improved  
Governance and Sustainable Forest Landscape Management”**

**Prepared by**

**GIZ**

**for Submission to the**

**Green Climate Fund**

## Contents

1. Introduction to developing Site-Specific ESMPs .....	46
2. Huaphan .....	47
2.1. Summary Context .....	47
2.2. Key Consultation Findings .....	49
2.3. Consultation Narrative .....	49
2.4. Consultation Registration Lists .....	57
3. Xayabouli .....	59
3.1. Summary Context .....	59
3.2. Key Consultation Findings .....	60
3.3. Consultation Narrative .....	60
3.4. Consultation Registration Lists .....	63
4. Oudomxay .....	64
4.1. Summary Context .....	64
4.2. Key Consultation Findings .....	65
4.3. Consultation Narrative .....	66
4.4. Consultation Registration Lists .....	70

## 1. Introduction to developing Site-Specific ESMPs

The programme level ESMP will apply to each community taking part in the programme, and each of the site-specific areas. The budget has been developed to support an ESM team to develop and implement the actions, in addition to holding regular workshop activities to support this. The site-specific areas that will be targeted in the programme are bio-physical areas that share environmental features and have similar agricultural patterns. These site-specific areas may cross district and provincial borders, and will likely be home to ethnically diverse populations. Each site-specific area will need to have specific data collection activities such as NTFP and biodiversity surveys completed for the area as a whole, while other actions, such as socio-economic data gathering, FPIC, and meaningful consultation will need to be conducted in each community participating in the programme.

The ESMP acts as a framework through which programme activities can be managed. This framework provides overall guidelines to programme implementation in all areas. At this point, while the programme is still being finalised, and while the specific locations, including which villagers, or village clusters, will be engaged in through this programme, are being decided, it is not possible to ascertain with any degree of certainty which ESMP action might not be applicable in a given context.

The ESMP is a dynamic document, and as the programme is implemented, it will become apparent to the ESM team which site-specific areas, or even village clusters within those areas, will need more specific support. During the implementation stages, the ESM Team will review and consider the appropriate actions, and adapt them as necessary. As such, one of the important ESMP actions in all site-specific areas will be the monitoring of programme activities, and creating additional ESMP actions for the site-specific locations as needed.

The ESMP Action 3: FPIC Process is required for all villagers, regardless of the location, and will reveal the specific needs of villagers in regards to programme management as it is implemented. This Action also enables villagers to freely reject participation in the programme. The Social Inclusion and Meaningful Consultation Action (ESMP 4) will support the ongoing needs of villagers to interact with programme objectives. The results of these actions will inform the specific site plans, and can support the PPMU and DPMU to effectively interact with villagers and other programme stakeholders.

The three locations visited as a precursor to this document, all demonstrate a lack of land-use planning activities, in addition land allocation rights are unclear due to lack of land titles. Capacity building is needed at every level, as although GoL counterparts have had initial exposure to many laws and frameworks, they lack systematic support of continuous and equal implementation. Weak forest governance and law enforcement also serve as a driver for deforestation or forest degradation.

Local poverty, and lack of alternative livelihood strategies, especially off-farm activities, are major drivers of unchecked agricultural expansion, often for swidden agriculture which is both

labour intensive, high-risk, and low-result. Traditional forest management systems are not sufficient to promote sustainable forest management given the external forces interacting with communities, and the lack of a clear land-use planning from a district level.

As the programme stands now, the earliest work in a site-specific location will be in 2020. It is inconceivable that any of the ESMP actions will **not** be needed at a local level by then. The ESMP has been designed to support local capacity building through the programme life-cycle, to encourage resilience amongst programme personnel, and to ensure all programme stakeholders gain access to systematic support to encourage equal implementation of policies, laws and frameworks throughout all areas.

## 2. Huaphan

### 2.1. Summary Context

Houaphan province is characterized by a mountainous landscape of 1,737,133 hectares, greatly influenced by the dominant land use practice of upland swidden agriculture. The landscape is made up of forest and agricultural areas in different stages of activity: from ongoing agricultural lands to fallow areas in various stages of recovery, as well as forest cover which ranges from very disturbed, to relatively undisturbed. A land cover classification study in 2015 estimated that forest cover contributed 92.7% of the forest land. Based on the population and housing survey in 2015 the population of Houaphan is at just under 290,000 people, in 10 administrative districts.

Houaphan is ethnically diverse, with representatives from at least 10 ethnic groups including the Tai Lao, Tai Dam, Tai Deng, Khmu, Xingmoun, Phong, Mouy, Hmong and Lu Mien. The majority of the population is involved in subsistence agriculture, mainly paddy rice and upland rice farming. Given that the suitable area for Paddy farming in the province is limited, production levels for paddy rice lands remain stable. However upland production systems are continuing to expand and change as population pressures and the promotion of cash cropping as a way of supporting income generation continues.

Although there are relatively few industrial forest plantations in the province, especially compared to other northern provinces, the large area of forest cover means, timber extraction from natural forests is an important activity and a source of revenue.

Houaphan is home to two NPAs, The Nam Et Phou Louey NPA in the west and Nam Xan NPA in the east, both of which are high priority areas regarding the conservation of biodiversity. A total of 17 globally threatened bird species and 20 mammal species have been recorded in the Nam Et Phou Louey NPA making it a site of critical importance for biodiversity conservation. The Nam Xan NPA still retains much of its rich biodiversity and is home to many rare wildlife species.

The main barriers to forest conservation and biodiversity protection are increasing shifting cultivation and pioneering expanding agriculture brought on by increased population pressures. This includes increased rice cultivation, subsistence crops, cash crops and other emerging

production methods, and upland swidden agricultural practices. In addition, unsustainable wood extraction and illegal logging are seen as underlying causes of deforestation and forced degradation.



## 2.2. Key Consultation Findings

The key agricultural crops in Houaphan Province are upland and lowland rice, followed by corn as a cash crop, and then vegetables. One of the key risks to forests in this province are the district level socio-economic development plans which call for an increase in agricultural production land of over 90,000 hectares from 2016 to 2020.

Government officials site lack of funding, or funding that is delayed in arriving, as limiting the ability of the district departments to carry out basic forest management tasks. Villagers themselves also are requesting support for land titling activities, and forest protection work.

There is also the ongoing issue of low-capacity amongst provincial and district staff, and their low-levels of understanding of the legal frameworks in Lao PDR and the also the socio-economic development plans. This has resulted in the continuation of illegal practices such as slash and burn agriculture – also because there has not yet been any support for additional activities with which to replace shifting cultivation.

The district level consultations below also reveal another aspect of the low departmental capacity - the extent to which information is not exchanged between departments, resulting in varying information depending on who is spoken to (as a specific District Governor's Office say no Village Forestry Management Plans have been implemented, while the District Agriculture and Forestry office say the plans have been implemented in 34 villages already).

## 2.3. Consultation Narrative

Meetings were held from 28-29/1/2019, with the following District and Village Offices:

1. Houameuang District Governor's Office
2. District Agriculture and Forestry Office, Houameuang District
3. Hoaumeang District Natural Resources and Environment Office
4. Lao Women's Union, Hoaumeang District
5. Lao Front for National Construction, Hoaumeang District
6. Ban Hong Aoy Village, Houameuang district Houaphan province

In total 7 officials from provincial, district and village authorities were spoken with over the two days of consultations (5 of the respondents were men, 2 were women). In addition 31 Villagers (19 women) participated in the village consultation.

The team that conducted the consultations was made up of four people as follows:

Mr. Aphitsit Payasack, from REDD, tel: 020 7874 2208

Mr. Houatho Youayee, from GIZ-CliPAD, tel: 030 511 2571

Ms. Chansouk Inphuvanh, from Geo-Sys, tel: 020 2252 6582

Ms. Vilayphone Vongpith, from Geo-Sys, tel 020 5566 5151

**Houameang District Governor's Office, Houaphan province**

28/01/2018

**Participants:**

1. Mr. Phoumboun Meexay, vice governor, tel: 59420555

**Comments:**

- The PRAP activity has been approved by the province and district authorities, and is now awaiting the budget to implement the activity
- Target villages include all 70 villages in the district apart from 6 villages which have not yet finished the boundary plans, and have not signed an agreement.
- None of the target village has yet implemented the Village Forestry Management Plan due to lack of allocated budgets.

**Challenges:**

- Villagers and local village authority do not fully understand the objective of the project. In the beginning they were not able to collaborate totally with the project due to misunderstandings, and therefore illegal slash and burn agricultural practices occurred.
- People do not have stable or sufficient income, and are keen to take part in agricultural promotion activities
- Some villages still engage in slash and burn agriculture
- Main sources of income for villagers are from agriculture, livestock raising, and NTFP collection

**Objectives:**

- To reduce impact from slash and burn activities
- To promote additional income sources to reduce slash and burn agriculture and reduce poverty



**District Office of Agriculture and Forestry, Houameuang District**

28/01/2018

**Participants:**

1. Mr. Van Sysoumang, Head of agriculture unit, tel 02023848744

**Comments:**

- The Village Forest management plan activity has been finished in 34 villages, 6 villages still under development.
- All target village are being monitored and managed via a GIS system – district Agriculture and Forestry Office is the monitoring actor
- It is essential to follow up with village authorities if there are any illegal activities in the forest area.

### **Challenges:**

- Village trust fund does not work well as money available for borrowing is very limited and some people are not using the funds according to their proposals
- There is no training center in the area
- Villagers are concerned that the project and/or the government will take their land
- After demarcation the total area of the protected area has been reduced and the village authorities do not take any responsibility about this issue
- Some villagers still cutting trees and burning forests for expanding their agriculture area, however some strictures have been applied to all the offenders

### **Proposals:**

- The amount of money that people can borrow from the village trust fund is very low so they are unable to initiate any business. The suggestion is that the amount of money that people can borrow is increased
- Promote planting forage grasses to feed cattle
- Promote animal raising
- Limited market for the agriculture products, the project is requested to support marketing activities
- The forest in the district is the pine forest, where it is possible for red mushroom to grow, this mushroom is very expensive and high demand in the market so this activity should be carefully managed and marketed



**Office of Natural Resources and Environment, Houameang district, Houaphan Provinces**

28/01/2018

**Participants:**

1. Mr. Medta Nanthavongduangdee, office of NRE, Head of the office, tel: 35559425

**Summary:**

- LUDP Land use development project is conducting a land titling project in 13 villages, this project is funded by GiZ
- The project has selected villages where communities are engaging in village forestry mapping

**Challenges:**

- Budget allocation is always delayed therefore the work could not be finished as planned



**Office of Lao Women Union, Houameuang district, Houaphan province**

28/01/2018

**Participants:**

1. Ms. Inpeng Vongsouk, District women union, tel: 98959199
2. Ms. Larphone Somthavong, Head of district women union, tel: 55982382



- The village trust fund is very limited, therefore people could not do any business by borrowing money from village trust fund
- the budget for monitoring the trust fund activities is not sufficient so the monitoring work could not be conducted according to the plan.

**Lao Front Union, Houameuang district, Houaphan province**

28/01/2018

**Participants:**

1. Mr. Khamxay Payatua

**Challenges:**

Budget allocation is always delayed therefore the work could not be finished as planned





**Ban Hong Aoy Village, Houameuang district Houaphan province**

29/01/2018

**Participants:**

1. Mr. Somesy, village head
2. Mr. Chanphone, village front
3. 31 Villagers (19 women) (see attached participant list) – Khmu village

**Summary:**

- Benefit from the project activities are: - village trust fund, income from NTFPs

**Challenges/propose:**

- At the beginning of the project it was very challenging to support the villagers to understand the overall project goals, and how the activities would support these
- Land rights and land titling project is needed in this village
- The district authorities should frequently work with the village authorities on increasing the yields of agriculture products
- Promote tourism to support local income generating activities





## 2.4. Consultation Registration Lists

ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນເງິນຝາກອາກາດສີຂຽວ"  
Stakeholder consultations for an Environmental and Social Management Plan (ESMP) "Green Climate Fund (GCF)"

ແຂວງ ຫົວພັນ Houaphan Province, ເມືອງ ຫົວເມືອງ Houamuang district ວັນທີ Date 28/01/ 2019

### ໃບລົງທະບຽນ Registration

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ M F	ພາກສ່ວນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ເຊັນ Signature
1	Vanh Sy Samnang	✓	DAFO	Head of forestry unit	23844744	
2	ນ. ສິນທິ ສິນທິ Chansouk	✓	Geo-Sys	Consultant	22526582	
3	ທ. ສິນທິ ສິນທິ Aphsith	✓	REDD+	Consultant	98740208	
4	ນ. ສິນທິ ສິນທິ Vilayphone	✓	Geo-Sys	Consultant	55665151	
5	ນ. ສິນທິ ສິນທິ Vithayphone	✓	District Vice governor		59905551	
6	ນ. ສິນທິ ສິນທິ Cam Sathitong	✓	DAFO	Head of DAFO	59905150	
7	ນ. ສິນທິ ສິນທິ Houathor	✓	Geo-Sys	31m	0305114571	
8	ນ. ສິນທິ ສິນທິ Maita Namthavongdyangsy	✓	DonRE	Head of DonRE	55557425	
9	ນ. ສິນທິ ສິນທິ Khammay Phaythong	✓	Lao front	Deputy Head	21377707	
10	ນ. ສິນທິ ສິນທິ Eymouangvongsa	✓	LWU	Deputy Head LWU	98959199	
11	ນ. ສິນທິ ສິນທິ Lanphone Samthavong	✓	LWU	Head of LWU	55982382	
12						
13						
14						
15						
16						
17						

ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນເງິນຝາກອາກາດສີຂຽວ"  
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ແຂວງ ຫົວພັນ/Houaphan Province, ເມືອງ ຫົວເມືອງ/Houameung District, ບ້ານ ໂຮງອ້ອຍ/Hong oy Village ວັນທີ Date 29/01/ 2019

### ໃບລົງທະບຽນ Registration

Khom Village

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ M F	ພາກສ່ວນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ເຊັນ Signature
1	ນ. ສິນທິ ສິນທິ Phommavong	✓	REDD+	Technical	98740208	
2	ນ. ສິນທິ ສິນທິ ສິນທິ	✓	DAFO	DAFO	98907794	
3	ນ. ສິນທິ ສິນທິ Somsy	✓	Hong oy	Head of village	06199982	
4	ນ. ສິນທິ ສິນທິ Cham phone	✓	Geo-Sys	Villager	55665151	
5	ນ. ສິນທິ ສິນທິ Vilayphone	✓	Geo-Sys	Consultant	22526582	
6	ນ. ສິນທິ ສິນທິ Chansouk	✓	Geo-Sys	Consultant	0305114571	
7	ນ. ສິນທິ ສິນທິ Houathor	✓	Geo-Sys	Technical	4619079	
8	ນ. ສິນທິ ສິນທິ Phammay	✓	Hong oy	Villager	0304470892	
9	ນ. ສິນທິ ສິນທິ Phou	✓	Hong oy	Villager		
10	ນ. ສິນທິ ສິນທິ Maitai	✓	Hong oy	Villager		
11	ນ. ສິນທິ ສິນທິ Kham Savanh	✓	Hong oy	Villager		
12	ນ. ສິນທິ ສິນທິ Syvone	✓	Hong oy	Lao front		
13	ນ. ສິນທິ ສິນທິ Phai phone	✓	Hong oy	Deputy Head of village	0304441912	
14	ນ. ສິນທິ ສິນທິ Thongsamai	✓	Hong oy	Villager		
15	ນ. ສິນທິ ສິນທິ Imphone	✓	Hong oy	Villager		
16	ນ. ສິນທິ ສິນທິ Thongmai	✓	Hong oy	Villager	0309589553	
17	ນ. ສິນທິ ສິນທິ Somphone	✓	Hong oy	Villager		

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ໃບລົງທະບຽນ Registration

Khmu Village

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ			ພາກສ່ວນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ເຊັນ Signature
		ຍ	F	M				
18	ບ. ບຸນສິງ Bounsing			✓	ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
19	ລຶງ ຫຼວງ Liengthong			✓	ບ. ໂຮງອ້ອຍ Hong oy	villager	06204423	
20	ນາງ ນາງ Nangnang	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
21	ນ ອິງ Hing	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
22	ນ ລຸນ Lun	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
23	ນ ລາ Lar	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
24	ນ ວັນ Vanh	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
25	ນ ສາວ Sao	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
26	ນ ສິນ Chit	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
27	ທ້າວ ພ້ອມ ພ້ອມ Phone Kea			✓	ບ. ໂຮງອ້ອຍ Hong oy	ທ້າວ ພ້ອມ ພ້ອມ Lao youth		
28	ນ. ອອດ out	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
29	ນ. ວິນ Vin	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
30	ນ ມອນ Mone	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
31	ນ ຄ ກ ກ ກ Khou	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
32	ນ ລຶງ Lieng	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
33	ນ ອ້ ອ້ Hang	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		
34	ນ ອ້ ອ້ Horne	✓			ບ. ໂຮງອ້ອຍ Hong oy	ບ/໑ villager		

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ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນດິນຟ້າອາກາດສີຂຽວ"  
 Stakeholder consultations for an Environmental and Social Management Plan (ESMP) "Green Climate Fund (GCF)"  
 ແຂວງ ຫົວພັນ/Houapane Province, ເມືອງ ຫົວເມືອງ/Houameung District, ບ້ານ ໂຮງອ້ອຍ/Hong oy Village ວັນທີ Date 29/01/ 2019

ໃບລົງທະບຽນ Registration

Khmu Village

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ			ພາກສ່ວນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ເຊັນ Signature
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35	ທ້າວ ພ້ອມ ພ້ອມ Khamlan S. Hongkay			✓	ບ. ໂຮງອ້ອຍ Hong oy	Head of DEIU	030 905 7172	
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### 3. Xayabouli

#### 3.1. Summary Context

Xayabouli province consists of 11 districts with over 384,000 inhabitants (from the 2015 household survey). The province is very ethnically diverse (there are 8 main ethnic groups: Lao, Gnuan, Hmon, Lue, Taidam, Khmu, Lu-mien and Prai), and most people support their livelihoods by engaging in agricultural activities and using forest resources. Xayabouli province covers an area of 1,560,042 ha and is a mixture of both mountainous and flat landscapes. It is estimated that 92% of households in the province engage in agricultural production activities, on land that covers around 228,296 ha (around 11% of the total province area), with over half of this land cultivating maize, jobs tear, and rice. Xayabouli province is often referred to as “the rice basket” of northern Laos, as it has nearly double the area of rice paddies in comparison to the other northern provinces. Livestock is also important in the province, mainly cattle, ducks, chickens, and pigs.

An estimated 84% of the province is still forested land (over 1.3 million ha in 2015), of which about 21% is estimated to be regenerated vegetation. The remaining forest areas are predominantly mixed deciduous forest (812,614 hectares), some evergreen forest (148,344 ha), and dry dipterocarp forest (9,020 hectares). This forested area also includes three categories of forested area; Conservation Forests – 209,940 ha (one National protected area, Nampouy; four areas of national protected area; and three district protected areas); protection forest area – 596,696 hectares (six areas of national protection forest, nine areas of provincial protection forests, and three areas of district protection forests); and production forests – six areas totalling 340,595 ha.

The Nampouy National protected area covers parts of three districts in the province, is home to 52 species of mammals, 98 bird species, 13 species of reptiles, 3 amphibian species, 15 fish species and diverse other mollusks, crustaceans, and insects, representing an important hub of biodiversity in the country. However, even though the province has numerous protected areas, the challenges faced by changing trends in land use due to human activity, has caused them deforestation and forest degradation.

The five year socio-economic development plan (2016 to 2020) and the five year agricultural and forestry development plan (2016 to 2020) Xayabouli province both state that improving the quality of existing forest area and increasing forest cover to 70% by 2020. This goal will be met through the promotion of natural forest regeneration, the classification of protection production and conservation forests, forest inventories, allocation of forest land, and the participation of local people and forced conservation activities in watersheds. In addition the five year agricultural and forestry development plan aims to promote the production of commercial crops together with incentives to add value to exports. Strategies to achieve these include scaling up of plantations of quick growing tree species to support the wood processing industry in the province and the need for timber products while promoting sustainable timber harvesting.

However, it is estimated that in the period 2005 to 2015, agricultural land increased by over a hundred thousand hectares while about the same amount of forest land was lost in the same period. Agricultural activities, unsustainable harvesting, and illegal logging are the main drivers of deforestation and forest degradation in Xayabouli province. Other drivers of deforestation, that have significant potential to increase in the future, include the establishment of industrial tree plantations, livestock raising by villagers, and hydropower.

Balancing growing populations increasing need for agricultural land, the promotion of cash crops (including maize, jobs tear, cassava, sugarcane, peanuts, and sesame), industrial tree plantations, and animal husbandry with promoting forest protection and regeneration efforts must be carefully managed. In addition, illegal logging, unsustainable extraction and other potential future threats such as hydropower, mining, and infrastructure development can combine to create a challenging environment for forest protection.

### 3.2. Key Consultation Findings

Xayabouli is the country's biggest corn producer, currently responsible for 22% of the national maize production. This has grown extensively and with minimum control since the introduction of contract farming in the early 2000s. The government would like to reduce the amount of corn produced in the province, but it is not clear with what they would like to replace it. Other key crops in the area are rainfed paddy rice, as well as starchy roots and other vegetables.

Provincial and District authorities blame lack of experience and capacity for the difficulties they have in coordination.

The district and province have differences of opinions about the allocation of responsibilities, including the practical implementation of forest management and village boundary works.

Villagers are vulnerable to shocks as the price of corn fluctuates wildly, a main concern at the village level.

### 3.3. Consultation Narrative

Xayabouli consultations were held on 4/2/2019 at both the district and provincial agricultural and forestry office and in Phonekeo village in Xai district:

1. District and Provincial Agriculture and Forestry Office
2. Phonekeo Village, Xai District

In total 2 officials from provincial, district and village authorities were spoken with over the two days of consultations. All of the respondents were men. In the village, 18 villagers participated in the consultation process, 2 of whom were women.



The team that conducted the consultations was made up of four people as follows:

Mr. Aphitsit Payasack, from REDD, tel: 020 7874 2208

Mr. Houatho Youayee, from GIZ-ClipAD, tel: 030 511 2571

Ms. Chansouk Inphuvanh, from Geo-Sys, tel: 020 2252 6582

Ms. Vilayphone Vongpith, from Geo-Sys, tel 020 5566 5151

**Department of Agriculture and Forestry and Office of agriculture and forestry, Xayabouly district, Xayabouly Province**

4/02/19

**Participants:**

1. Mr. Somphome Chitavong, Head of Forestry Division, PAFO
2. Mr. Khamphone – Head of District Forestry

**Comments:**

The main social issue that were raised include the following:

The project has begun here since 2009, supported by GIZ, and they have a vision by 2020 to reach forest cover of 70%. There are no clear boundaries yet of protection area, or forest protection management tools.

There are a number of key villages near protection areas, and Phonekeo village is the proposed model village to trial new activities.

It is very challenging to applying any law enforcement on the issue of slash and burn agriculture (sometimes referred to as shifting cultivation), as the existing methods are not effective due to the cultural practices of people to do slash burn, it needs dissemination of Laws and regulation or raise awareness on forest management to villagers.

There are problems of poor forest management by the village authorities who lack experience in implementation, and from the district level who have difficulties with monitoring and inspection

The GoL policy on moving people who are living in the forest area down to the low-land areas has not yet been achieved, therefore the forest disturbance is still happening

**Phonkeo Village, Xai district, Xayaboury province**

4/02/2019

**Participants:**

1. Mr. Khamphone – Head of District AF
2. 18 Villagers, including 2 women

Phonkeo village is a Hmong village, and is close to national bio-diversity conservation areas

Issues and Challenges:

- Although the district claims that the forestry management plan is in place, the village maintain that they have an existing patrolling system and management structure, for which they pay around 40,000 kip annually.
- However, the National Protected Forests are still being disturbed by local people
- No budget to conduct suitable forest management activities
- Application of law enforcement is not effective – 70% of the village have only access to upland areas, therefore irrigation is not suitable for paddy rice
- Livelihood restoration and poverty reduction policies are in contrast with the forest conservation regulations. For example, increasing agriculture areas requires more land (potentially using forest areas), or increasing the productivity of existing land (needed external inputs such as irrigation). Villagers feel that livestock raising is more effective and suitable in this area.



### 3.4. Consultation Registration Lists

ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນເກີນມາຍາກາດສີຂຽວ"  
Stakeholder consultations for an Environmental and Social Management Plan (ESMP) "Green Climate Fund (GCF)"

Sangabouy Province ເມືອງ...ໄກ່ບຸນ...ໄກ່ບຸນ...Sangabouy District, ບ້ານ...ໄກ່ບຸນ...ໄກ່ບຸນ... Village ວັນທີ Date 02/11/2019

ໃບລືງທະບຽນ Registration *Hmong Village*

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ M F	ນາມສະກຸນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ຮຸ້ນ Signature
1	<i>Atthaphi</i>	✓	REDD+ (ຄົນໄກ່ບຸນ)	Technical	020 3834228	<i>Atthaphi</i>
2	<i>Village Phone</i>	✓	Geo-Sys	Consultant	5566 51 51	<i>Stony</i>
3	<i>Chom Soud</i>	✓	Forestry station	ວິທະຍາສາດ REDD+	55795474	<i>Stony</i>
4	<i>Chom Soud</i>	✓	Geo-Sys	Consultant	22 02682	<i>Stony</i>
5	<i>Phone Phone</i>	✓	Phon Keo	Head of village	5579677	<i>Phone</i>
6	<i>Vong Xiong</i>	✓	Phon Keo	Head of village	23 26014	<i>Vong</i>
7	<i>Thong Thao</i>	✓	Phon Keo	Deputy head	23 11437	<i>Thong</i>
8	<i>Tee Yang</i>	✓	Phon Keo	Head of unit	99 32374	<i>Tee</i>
9	<i>Toung Yang</i>	✓	Phon Keo	Head of unit	39 29 32345	<i>Toung</i>
10	<i>Larher</i>	✓	Phon Keo	Head of unit	25	<i>Larher</i>
11	<i>Vang Lee Vup</i>	✓	Phon Keo	Police	-	<i>Vang</i>
12	<i>Kong Thor</i>	✓	Phon Keo	Police	030 2312494	<i>Kong</i>
13	<i>Yang po Xiong</i>	✓	Phon Keo	Police	030 2868888	<i>Yang</i>
14	<i>Xor Yang</i>	✓	Phon Keo	Police	030 2868888	<i>Xor</i>
15	<i>Patoua Xiong</i>	✓	Phon Keo	Villager	-	<i>Patoua</i>
16	<i>Houa Lee</i>	✓	Phon Keo	Villager	030 2811963	<i>Houa</i>
17	<i>Tong Xiong</i>	✓	Phon Keo	Forester	030 24388	<i>Tong</i>

ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນເກີນມາຍາກາດສີຂຽວ"  
Stakeholder consultations for an Environmental and Social Management Plan (ESMP) "Green Climate Fund (GCF)"

Sangabouy Province ເມືອງ...ໄກ່ບຸນ...ໄກ່ບຸນ...Sangabouy District, ບ້ານ...ໄກ່ບຸນ...ໄກ່ບຸນ... Village ວັນທີ Date 02/11/2019

ໃບລືງທະບຽນ Registration *Hmong Village*

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ M F	ນາມສະກຸນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ຮຸ້ນ Signature
18	<i>Kia Yang</i>	✓	Phon Keo	Lab Youth	030 2868888	<i>Kia</i>
19	<i>Chue Yea</i>	✓	Phon Keo	Police	030 2868888	<i>Chue</i>
20	<i>Mai Lau</i>	✓	Phon Keo	Villager	030 2868888	<i>Mai</i>
21	<i>Thong per Xiong</i>	✓	Phon Keo	Army	030 2868888	<i>Thong</i>
22	<i>Boumyang Thao</i>	✓	Phon Keo	Technical	030 2868888	<i>Boumyang</i>
23	<i>Houa Thor</i>	✓	Phon Keo	Technical	030 2868888	<i>Houa</i>
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## 4. Oudomxay

### 4.1. Summary Context

Oudomxay province is located in the centre of the Northern region of Laos, west of the Mekong River. It shares 22.5 km long international boundary with China in the North. This international border is key to Oudomxay's ongoing development, as much of the investment and market drivers come from China.

Oudomxay's topography is mostly mountainous with elevations ranging between 300 to 1500 m above sea level. Oudomxay province has over 314,377 people (counted in 2015) in seven districts. Ethnic diversity in the province is high, with approximately 14 different ethnic groups present. The Khmu ethnic group is the largest single group constituting over 80% of the population, other ethnic groups include the Lao, Hmong, Akha, Phouan, Ly, Yang, Ikho and Ho, among others. The provincial land area is more than 1,194,924 ha, of which over 1.1 million ha (91%) is deemed forested area. Of this forested land, 48% as regenerating vegetation. The remaining forest area is predominantly mixed deciduous forest (548,954 ha), and to a lesser extent evergreen forest (17,023 ha).

The majority of the population is involved in subsistence agriculture which is dominated by shifting cultivation for upland rice and other crops, mainly for household subsistence, which can negatively impact on forested areas. Important crops in Oudomxay include rubber, banana, rice (both upland and Paddy), maize, sugarcane, jobs tear, copy, beans, and sesame. There are numerous important water resources that play an important role in the socio-economic activities of the province especially in agriculture and fisheries. Hydropower development, and the potential resulting military locations, not mentioned within the consultations however based on district plans they could increase deforestation or is degradation in the future.

2005 to 2015, total forest area increased whereas agricultural land declined both by around 14,000 ha. It is likely that increased industrial plantations, and a reduction in shifting cultivation, are responsible for this trend. Increasing monoculture, although increasing overall forest area and slowing down net deforestation and forest degradation, hides trends indicating increased deforestation in mixed deciduous forests which has negative impacts on the provision of diverse services and ecological functions provided by complex forest ecosystems in the province.

In addition, underlying causes of deforestation and forest degradation which include population growth, migration, market forces, poverty and lack of alternative livelihood options, inadequate land allocation and land use planning, as well as poor governance and law enforcement will all, if left unchecked, continue. An increased focus on cash crops has been identified as a major driver of deforestation and degradation in each district in Oudomxay province. Maize, jobs tear, sesame, cardamom, soybeans, watermelon, banana plantations, and especially the expansion of rubber plantations (with contract farming schemes), all are identified as drivers of deforestation.



Oudomxay has 220,790 hectares of production forests, 443,550 ha of protection forests (including 19 provincial protection forests and 4 district protection forests), and 118,000 ha of conservation forests (Phou Hi Phi national protected area covers 87,350 ha in 2 districts). Oudomxay's forests are home to a range of biodiversity, and provide natural habitat for a variety of flora and fauna. This includes red listed species such as tigers, bears, elephants, and deer. Oudomxay also hosts the upper Lao Mekong important Bird area which is home to many important species. Threats to biodiversity include hunting, increases in pollution, as well as forest loss and degradation.

#### 4.2. Key Consultation Findings

In Oudomxay, over half of all agricultural production area is taken up with corn (maize) production. Much of this production has been developed in conjunction with outside investors, many from neighbouring countries. Other main crops include rainfed paddy rice and upland rice produced through shifting cultivation, and vegetable production for sale as well as domestic use.

The main drivers of deforestation and forest degradation have been identified as expansion of agricultural areas for both cash crops (especially rubber) and shifting cultivation.

The largest ethnic group in the province are the Khmu people, estimated at nearly 60% of the population.

Provincial level consultations conducted for this assessment revealed that the provincial forestry maps have been developed in 1995, and are therefore out of date. Updates to these mapping activities will be a key aspect of project development. Support is also needed to review land titling and demarcation projects as this activity has not yet been completed across the province.

Although project documents identify corn as a key crop in the area, provincial level consultations discussed the expanding rubber and banana plantations in the province as an additional deforestation driver, these plantations also being a concern for the local environment as they require heavy doses of (unregulated) pesticides.

Provincial officials support the project aims, but have concerns about stakeholder coordination, and stress the importance of value chain analysis for NTFPs and the implementation of accurate baselines to assess how agricultural support activities impacts on forest cover. Clear and accurate NTFP inventory surveys are important in this province, as NTFP collection is a key activity of local people.

This is clearly demonstrated in Nam Pheang Na Houm village, which has been identified as having a good forest management practice, at the cost of having a lower socio-economic status than their neighbours as they have not expanded their agricultural production areas.

The village consultation revealed that local people are also keen to promote clear rules and regulations, and their enforcement, around forest conservation and protection. There is also interest in learning about increasing yields for existing crops, sustainable farming techniques, organic agriculture, and gaining access to farmer field schools that can teach these methods.

Villagers also expressed interest in learning about tourism promotion, NTFP value chains, agricultural and NTFP marketing.

#### 4.3. Consultation Narrative

Consultations in Oudomxay were held between 31/1/2019 and 1/2/2019. Four meetings were held as follows:

1. Provincial Department of Agriculture and Forestry
2. Provincial Department of Planning and Investment
3. Provincial Department of Natural Resources and Environment
4. Nangiou Village, with additional consultations there with Xay District Officials

In total 12 officials from provincial, district and village authorities were spoken with over the two days of consultations. All of the respondents were men. Additionally, 64 villagers were spoken with, 39 of whom are women.

The team that conducted the consultations was made up of four people as follows:

Mr. Aphitsit Payasack, from REDD, tel: 020 7874 2208

Mr. Houatho Youayee, from GIZ-CliPAD, tel: 030 511 2571

Ms. Chansouk Inphuvanh, from Geo-Sys, tel: 020 2252 6582

Ms. Vilayphone Vongpith, from Geo-Sys, tel 020 5566 5151

#### **Department of Agriculture and Forestry, Oudomxay Province**

31/01/2019

##### **Participants:**

Mr. Bounkerd Sanongxay, Deputy Director General of the Department of Agriculture and Forestry, Oudomxay Province, tel: 020 22515765

Mr. Bounthan Phomsavanh, Head of Forestry division, tel: 02022840113

Mr. Aphisith Mahachit, deputy head of Forestry division, [tel: 020 558201202](tel:020558201202)

##### **Comments:**

The forest map has been developed in 1995 (Topo map), the area has undergone many changes since then. It is necessary to review the old version and update before conducting any village forest mapping activities

All districts in Oudomxay have accepted the REDD project, which covers 42 villages, especially important for villages that are located close to watershed

Review and revise the existing land allocation/forest demarcation work will be important

No Land demarcation like CliPAD

Should the project have the indicators to evaluate how much the province could reduce the emission according to the increased the forest cover?

Ban Nam Pheang Na Houm- is good on forest protection but their economic conditions is not as good as neighboring villages

Bottom up planning is better than top down

### **Challenges:**

Understand and collaborate with the villagers

Land use in the area has been affected by the investors from neighboring countries

Some private agriculture land has been rented by Chinese and Vietnamese for rubber plantation, then slash and burn production happens by villagers to clear land for their own new agriculture area.

Approximately, rubber plantations cover 30 ha in the province

Promotion of rubber plantations can increase villager incomes as well as increasing the forest cover in the province.

Forestry management should involve collaboration between all levels.

*Identify the implementation Stakeholders* - it is very important to involve local authorities during implementation in all activities.

### **Proposals:**

Baseline study of all level of forest area in the province is necessary – mapping clearly and accurately the forest area and mitigate measures on the land clearance activities

Study of Marketing, increase values of the products, NTFPs can be the source of supplement income for villagers

Promote one village one products, study the potential of the good product in each village

Study the supply and demand of the agriculture products

**Department of Planning and Investment, Oudomxay Province**

31/01/2018

**Participants:**

Mr. Chanthala Xaibounhieung, Deputy Director General of the DPI, tel: 02023770999

**Comments:**

According to the SDP of the provinces- the DPI has allocated some budget for the activities to support the land allocation activities in the province

The DPI has collaborated with DAF to develop the Plan and submit to the central government

DPI- has focused all development project on agricultures

All development projects have to conduct IEE/EIA before getting approval of project investment

Related project on livestock raising (by the ADB), The project is just finishing the planning stages, and have not yet started implementation

In Meuanghoum the land has been impacted by banana plantations

There are many rubber plantation projects in the provinces which cause many impacts to the local and natural environment due to pesticide use



**Department of Natural Resources and Environment, Oudomxay Province**

31/01/2018

**Participants:**

Mr. Bounthan Champasymany , DDG of DONRE, Oudomxay Province

Mr. Chanpheng Chanthalack, head of land use division

Mr. Somchit soukthaphone, Environmental division, tel: 54079319

Mr. Souk Sounthala, deputy head of Division tel: 54020756

**Comments:**

Land management plan in the province was developed in 1995, and has not had any review or updated information added. This will be an important first step.

All forest management has been transferred to DAF, land use titling in 7 districts most of the work has been done, but some are not yet finished. From 2009 to 2011, land use management in 4 districts has been finished, 3 district not finished yet, (land management at micro-management)

DAF responsible on management of National forest, protection forest and agriculture forest, as well as limiting the frequency of upland shifting cultivation (slash and burn).

Most of the forest area has been disturbed for local communities to do agricultural activities in order for them to increase household income.

Integrated environmental management plans are needed to support positive development

**Challenges:**

Increasing populations can cause impacts to the forest due to more forest disturbance for agriculture activities

The NTFP lists are not clear and accurate (for example, in Xayabouly the vine ‘Keua sai xang’ (ເຄື່ອນໄສ້ຊ້າງ) is classified as timber product and is illegal to harvest, while in Oudomxay it is classed as an NTFP and is harvested legally).

Lack of support for watershed management activities

#### 4.4. Consultation Registration Lists

ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນເງິນຝາກອາກາດສີຂຽວ"  
Stakeholder consultations for an Environmental and Social Management Plan (ESMP) "Green Climate Fund (GCF)"

ແຂວງ ອຸດົມໄຊ Oudomxay Province, ເມືອງ ໄຊ Xay district ວັນທີ Date 31/01/2019

##### ໃບລົງທະບຽນ Registration

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ F M	ພາກສ່ວນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ເຊັນ Signature
1	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	PAFO	Deputy head of forestry	82055820102	
2	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	REDD+	Technical	78742208	
3	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	GT2-CLIPAD	Technical	0305112534	
4	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	PAFO	Head of forestry	22840113	
5	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	PAFO	DO PAFO	22840113	
6	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Investigation section	Head of section	28720059	
7	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Investigation	Technical	25102344	
8	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Investigation	Head of section	99880099	
9	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Agriculture	Head of unit	56830604	
10	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Agriculture	Deputy head of planning unit	54082379	
11	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	PPF	DO PPF	23770999	
12	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	PONRE	DO PONRE	52988888	
13	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	PONRE	Deputy head of section	54020756	
14	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	PONRE	Deputy head of environment	54077319	
15	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	PONRE	Head of land section	22833311	
16						
17						

1

ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນເງິນຝາກອາກາດສີຂຽວ"  
Stakeholder consultations for an Environmental and Social Management Plan (ESMP) "Green Climate Fund (GCF)"

ແຂວງ ອຸດົມໄຊ/Oudomxay Province, ເມືອງ ໄຊ/Xay District, ບ້ານ ນາງວ/ Nangew Village ວັນທີ Date 01/02/2019

##### ໃບລົງທະບຽນ Registration

Khamu village

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ F M	ພາກສ່ວນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ເຊັນ Signature
1	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	REDD+	Technical	78742208	
2	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Head of village	0309416765	
3	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	DAFO	Technical	98181416	
4	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	PAFO	Deputy head of forestry	55820102	
5	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Geo-Sys	Consultant	55665151	
6	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Forester	0305794896	
7	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Lao youth	0205566637	
8	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Villager	030566726	
9	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Villager	0309942035	
10	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Villager		
11	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Villager	0304603541	
12	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Villager		
13	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Villager	0309378412	
14	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Villager		
15	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Villager		
16	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Villager	0205518369	
17	ທ. ອຸດົມ ອຸດົມ Aphisith	✓	Nangew	Villager	030940264	

1



ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນເງິນຝາກສິ່ງແວດລ້ອມ"  
Stakeholder consultations for an Environmental and Social Management Plan (ESMP) "Green Climate Fund (GCF)"  
ແຂວງ ອຸດົມໄຊ/Oudomxay Province, ເມືອງ ໄຊ/Xay District, ບ້ານ ນາງິວ/Nangew Village ວັນທີ Date 01/02/ 2019

ໃບລົງທະບຽນ Registration

Khmu village

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ			ພາກສ່ວນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ຮຸ້ນ Signature
		ຍ F	ຊ M					
18	ທ ຊິງຮິດ Xonghit	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
19	ຂ ສົມ ສົມ Khampai	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager	020 952 96435	
20	ຂ ສົມ Mont	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
21	ທ ສົມ Sith	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
22	ຂ ສົມ Deng	✓	4		ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
23	ປ ສົມ Pa	✓	4		ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
24	ຂ ສົມ Pheng	✓	4		ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
25	ຂ ສົມ Vien	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
26	ຂ ສົມ Cham	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
27	ຂ ສົມ Sing	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
28	ຂ ສົມ Vee	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
29	ຂ ສົມ Sao	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
30	ທ ສົມ Phet	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
31	ຂ ສົມ Jay	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
32	ຂ ສົມ Khane	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
33	ຂ ສົມ cham	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
34	ຂ ສົມ Peng	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		

2

ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນເງິນຝາກສິ່ງແວດລ້ອມ"  
Stakeholder consultations for an Environmental and Social Management Plan (ESMP) "Green Climate Fund (GCF)"  
ແຂວງ ອຸດົມໄຊ/Oudomxay Province, ເມືອງ ໄຊ/Xay District, ບ້ານ ນາງິວ/Nangew Village ວັນທີ Date 01/02/ 2019

ໃບລົງທະບຽນ Registration

Khmu village

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ			ພາກສ່ວນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ຮຸ້ນ Signature
		ຍ F	ຊ M					
35	ຂ ສົມ Xay	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
36	ຂ ສົມ Vam	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
37	ຂ ສົມ Vong	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
38	ຂ ສົມ Vath	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
39	ຂ ສົມ Keo	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
40	ຂ ສົມ Vam	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
41	ຂ ສົມ Sang	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
42	ຂ ສົມ Sim	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
43	ຂ ສົມ Pha	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
44	ຂ ສົມ Khanhak	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
45	ຂ ສົມ Phangkhon	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
46	ຂ ສົມ Mon	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
47	ຂ ສົມ Mon	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
48	ຂ ສົມ Mak	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
49	ຂ ສົມ Napan	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		
50	ຂ ສົມ Soy	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager	0904 99 8063	
51	ຂ ສົມ Pin	✓			ບ້ານ ນາງິວ Nangew	ປ/3 Villager		

3

ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນເກີນພິພາກສາສິດຂອງ" Stakeholder consultations for an Environmental and Social Management Plan (ESMP) "Green Climate Fund (GCF)"  
 Oudomxay Province, ເມືອງ...  
 District, ບ້ານ...  
 Village ວັດ Date .../.../2019

ໃບລົງທະບຽນ Registration

Khmu Village

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ			ຜາສ່ວນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ເຊັນ Signature
		ຍ	ຝ	ຊ				
52	1. ພູ ພູ Phout	ຊ			ນາງ ພູ ພູ Nangou	ຝັ່ງ Villager	0909243944	ພູ ພູ
53	2. ສີ ສີ Champhat	ຊ			ນາງ ສີ ສີ Nangou	ຝັ່ງ Villager		ສີ ສີ
54	3. ລັດ ລັດ Latchar	ຊ			ນາງ ລັດ ລັດ Nangou	ຝັ່ງ Villager		ລັດ ລັດ
55	4. ສີ ສີ Chit	ຊ						
56	5. ພູ ພູ phen	ຊ			ນາງ ພູ ພູ Nangou	ຝັ່ງ Villager		ພູ ພູ
57	6. ດຳ ດຳ Demy	ຊ			ນາງ ດຳ ດຳ Nangou	ຝັ່ງ Villager		ດຳ ດຳ
58	7. ສີ ສີ Hai	ຊ			ນາງ ສີ ສີ Nangou	ຝັ່ງ Villager		
59	8. ສີ ສີ Oun	ຊ			ນາງ ສີ ສີ Nangou	ຝັ່ງ Villager		ສີ ສີ
60	9. ສີ ສີ Vian	ຊ			ນາງ ສີ ສີ Nangou	ຝັ່ງ Villager		ສີ ສີ
61	10. ສີ ສີ Chaioum	ຊ			ນາງ ສີ ສີ Nangou	ຝັ່ງ Villager		ສີ ສີ
62	11. ສີ ສີ Khammath	ຊ			ນາງ ສີ ສີ Nangou	ຝັ່ງ Villager	0309252945	ສີ ສີ
63	12. ສີ ສີ Ser	ຊ			ນາງ ສີ ສີ Nangou	ຝັ່ງ Villager	030919724	ສີ ສີ
64	13. ສີ ສີ Khamthar	ຊ			ນາງ ສີ ສີ Nangou	Deputy Head	0309244526	ສີ ສີ
65	14. ສີ ສີ Thongxay	ຊ			ນາງ ສີ ສີ Nangou	Head of Village	0309168113	ສີ ສີ
66	15. ສີ ສີ SY	ຊ			ນາງ ສີ ສີ Nangou	ຝັ່ງ Villager		ສີ ສີ
67	16. ສີ ສີ Somphet	ຊ			ນາງ ສີ ສີ Nangou	Teacher	0305163444	ສີ ສີ
68	17.							

1

ການປຶກສາຫາລືກັບຜູ້ມີສ່ວນຮ່ວມ ກ່ຽວກັບ ແຜນຄຸ້ມຄອງທາງດ້ານສິ່ງແວດລ້ອມ ແລະ ສັງຄົມ (ESMP) "ກອງທຶນເກີນພິພາກສາສິດຂອງ" Stakeholder consultations for an Environmental and Social Management Plan (ESMP) "Green Climate Fund (GCF)"  
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 Village ວັດ Date .../.../2019

ໃບລົງທະບຽນ Registration

Khmu Village

ລ/ດ	ຊື່ & ນາມສະກຸນ Name & Surname	ເພດ			ຜາສ່ວນ Sector	ຕຳແໜ່ງ Position	ເບີໂທ Tel	ເຊັນ Signature
		ຍ	ຝ	ຊ				
69	18. ສີ ສີ Lao	ຊ			ນາງ ສີ ສີ Nangou	ຝັ່ງ Villager		ສີ ສີ
70	19. ສີ ສີ Meephone	ຊ			ນາງ ສີ ສີ PAFO	Technical	0804561189	ສີ ສີ
71	20. ສີ ສີ Houathor	ຊ			ນາງ ສີ ສີ CHIPAD - CIIZ	Technical	0305112571	ສີ ສີ
72	21.							
73	22.							
74	23.							
75	24.							
76	25.							
77	26.							
78	27.							
79	28.							
80	29.							
81	30.							
82	31.							
83	32.							
84	33.							
85	34.							

2