



**Government of Lao PDR,  
Ministry of Agriculture and Forestry  
Lao Landscapes and Livelihoods Project  
(P 170559)**

**Village Level Environmental and Social  
Management Plan (VL-ESMP)**

**Phadai Village,  
Bolikan District, Bolikhamxay Province**

**18<sup>th</sup> January, 2023**

Draft, Version 4

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## Abbreviations

ARF	Access Restriction Framework
CEF	Community Engagement Framework
CHF	Cultural Heritage Framework
CHSP	Community Health and Safety Plan
CoC	Code of Conduct
DAFO	District Agriculture and Forestry Office
DoE	Department of Environment, MoNRE
DoEA	Department of Ethnic Affairs, LNFC
DoF	Department of Forestry, MAF
DoFI	Department of Forestry Inspection, MAF
DoNRE	District Natural Resource and Environment Office
DPT	District Project Teams
ECOP	Environmental Code of Practice
EGDF	Ethnic Group Development Framework
EHSG	Environmental, Health and Safety Guideline, WB
ESF	Environmental and Social Framework
ESFP	Environmental and Social Focal Points
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Standards
FPIC	Free Prior Informed Consent
GAP	Good Agriculture Practice
GBV	Gender Based Violence
GHG	Greenhouse Gas
GIS	Geographic Information System
GoL	Government of Lao PDR
GRM	Grievance Redress Mechanism
HCVA	High Conservation Value Assessment
IPM	Integrated Pest Management
IPP	Indigenous Peoples Plan
LFND	Lao Front for National Development
LLL	Lao Landscapes and Livelihoods Project, WB
LMP	Labor Management Procedures
LWC	Labor Working Conditions
LWU	Lao Women Union
MAF	Ministry of Agriculture and Forestry
MoIC	Ministry of Industry and Commerce
MoICT	Ministry of Information, Culture and Tourism
MoNRE	Ministry of Natural Resources and Environment
MoPWT	Ministry of Public Works and Transport
MoEM	Ministry of Energy and Mines
MoH	Ministry of Health
NAFRI	National Agriculture and Forestry Research Institute

NBT	Nature-based Tourism
NEQS	National Environmental Quality Standards
NGO	Non Governmental Organization
NP	National Park
NPA	National Protected Area
NPCS	National Pollution Control Standards
NPF	National Production Forests
NTFP	Non Timber Forest Products
OHS	Occupational Health and Safety
PA	Protected Area
PAFO	Provincial Agriculture and Forestry Office
PAP	Project Affected People
PCU	Project Coordination Unit
PFA	Production Forest Area
PM	Prime Minister
PMO	Prime Minister Office
PMP	Pest Management Plan
PoNRE	Provincial Natural Resource and Environment Office
PSFM	Participatory Sustainable Forest Management
PtFA	Protection Forest Areas
RAP	Resettlement Action Plan
RIL	Reduced Impact Logging
SEA	Sexual Exploitation and Abuse
SEP	Stakeholder Engagement Plan
SESA	Strategic Environmental and Social Assessment
SFM	Sustainable Forest Management
SS-ESMP	Site-specific Environmental and Social Management Plan
STD	Sexually Transmitted Disease
Tbd	To be determined
TPZ	Totally Protected Zone of a PA
US\$	United States Dollar
UXO	Unexploded Ordnance
VAC	Violence Against Children
VDC	Village Development Committee
VFM	Village Forest Management
VLBG	Village Livelihood Block Grant
VL-ESMP	Village-level ESMP
WB	World Bank

# **1 Introduction**

## **1.1 Objective of this VL-ESMP**

This village-level Environmental and Social Management Plan (VL-ESMP) for the Phadai village located within the Northern Annamite landscape is the first one that was developed in the context of the Lao Landscape and Livelihood Project (LLL).

The objective of this VL-ESMP is to identify potential adverse environment and social (ES) risks and impacts of activities conducted with support from the LLL project and appropriate measures to avoid and mitigate them. Relevant activities addressed by the VL-ESMP include for example village and field visits by project staff, volunteers and consultants for community engagement, land use zoning, community action planning and initial livelihood support, but also for forestry related activities such as surveys, boundary demarcation and patrolling.

This VL-ESMP does not include and address village-specific investments, which will be identified in the context of the Community Action Plan (CAP), such as various livelihood options funded through Village Livelihood Block Grants (VLBG) and the enhancement of village infrastructure. Related ES risks and impacts will be identified and mitigated through screening, scoping and site-specific ESMPs (SS-ESMP) or the application of other tools such as the Environmental Code of Practice (ECOP) and Pest Management Plans (PMP) as necessary and in accordance to the results of screening and scoping of ES risks and impacts. Guidance on how to apply these tools and related processes and formats are provided in the Environmental and Social Framework (ESMF).

## **1.2 The LLL Project Context**

The Phadai village is located within the LLL Project area, and will be involved in project activities, as well as receive support to promote sustainable forest management, to improve protected area management, and to enhance livelihoods opportunities. The LLL project includes 5 selected landscapes in Lao PDR, which are nested in 8 provinces and Vientiane Prefecture, 49 districts and will directly benefit around 600 villages.

It is implemented from March 2021 until September 2027 by the Ministry of Agriculture and Forestry (MAF), especially by its Department of Forestry (DoF) in close cooperation with the Ministry of Natural Resources and Environment (MoNRE) and many other relevant line agencies, organizations and partners. At all levels, central and sub-national (participating provinces, districts), organisational arrangements have been set up to successfully implement the LLL project. They include steering committees for oversight, as well as project coordination units to facilitate project management and support implementation together with technical teams set-up for specific activities.

The LLL project includes 4 components, investing in natural wealth and resilience in forest landscapes (component 1), livelihood opportunities from sustainable forest landscapes (component 2), institutions, incentives, and information (component 3) and project management, monitoring, and learning (component 4). The total available investment budget accounts for 57,4 million US\$, around 20.000 US\$ have been allocated as direct benefits to the 600 participating villages to enhance their livelihood and village infrastructure.

## **1.3 Village Information, Environmental and Social Specifics and LLL Support**

The table 1 below summarizes important information about the Phadai village, for which this Village-level Environmental and Social Management Plan (VL-ESMP) has been developed. It includes key information, which are structured into (1) general village information, (2) social and environmental specifics, as well as (3) activities and investments supported by the LLL project. The information have been derived from the village profile and complemented with data from other sources such as from existing village land use plans.

**Table 1: Summary - Village Information and LLL Support**

<b>General Information</b>	
<b>Village name:</b> Phadai	<b>Development zone:</b> Phameuang
<b>District:</b> Bolikhan	<b>Province:</b> Bolikhamxay
<b>LLL Landscape:</b> Northern Annamite's	<b>Total village area:</b> 17.182,059 ha
<p><b>Location and Access:</b></p> <p>The village is located around 40 km North of Bolikhan district town, accessible by dirt road all year (see Annex 02). The access road (R21) to Phadai village is about 9.4 km long, passing through agricultural and rock exploitation areas. The village is bordering Xiengkhouang province and is located inside the National Production Forest Areas (PFA) Pounghok Phouxang and Pak Buek.</p>	
<b>Socio-cultural Specifics</b>	
<p>The village was established 1983, and has currently 428 households with total of 2.144 persons (1.051 women) all Hmong ethnic group. Hmong belong to the Hmong-Ew-Hmien ethnolinguistic family and considered as Indigenous People (IP) as per WB ESS7.</p> <p>All households rely on gravity water supply from wells, a primary school exists, but no health post. All households have access to electricity/ power grid. Farming is the main livelihood including rice (paddy and upland), cash crops cultivation (cassava, pineapple), livestock raising (cattle, buffaloes, poultry, goats) and NTFPs use (broom grass, sugar palm). Labor used in rubber plantations. Food security is basically secured due to paddy rice, some problems are due to occurrence of pests. There are no specific cultural heritage sites known yet, but sacred forests/ sites including cemeteries are commonly found in villages of the Hmong ethnic group to worship their traditional beliefs.</p>	
<b>Environment and Land Use</b>	
<p>The village territory is mainly mountainous, and includes a watershed catchment of the Nam Heuang river and valley in North-South direction. Tributaries include Kham and Yao rivers. Altitudes range from around 250 m asl at valley bottom to around 750 m asl of ridges of the Phou Phasang Punghok mountain at Western part of the village. Tropical monsoon climate with distinct dry and wet seasons, 2.000 – 2.400 mm rainfall/ year, changes of rainfall pattern due to climate change, local floodings reported near Nam Heuang river.</p> <p>The territory is to a high percentage covered by forests, mainly degraded old-growth natural forests (mountainous evergreen), as well as secondary growth/ pioneer forests of different ages (swidden agriculture). Other land uses include rice fields (paddy and upland), rubber plantations, cash crop areas (casava, pineapple) and animal grazing areas/ pasture (see Annex 02/ FLUZ map). Stone mines and exploitation by private and state-owned companies also exist.</p> <p>Common encroachments into forests have been detected, leading to degradation and deforestation, main drivers include expansion of cash crops, pioneering shifting exists but less important. Illegal logging was also reported. There are reported land disputes due to illegal occupation of forest land, including with neighboring villages, village boundary conflict (Ban Dong), illegal land occupation by outsiders.</p>	

<b>Others</b>
The area is free of UXO. Available UXO distribution maps for Lao PDR do not indicate that UXO exists in this area. Consultations with local stakeholders on site have confirmed this. No known specific cultural heritage sites and touristic attractions
<b>LLL Supported Activities</b>
The village provided consent to engage with LLL project, and indicated interest in developing a Community Action Plan (CAP) that will include funding for eligible livelihood options via village livelihood block grants, as well as potentially support to enhance village infrastructure and participation in vocational education.
Other activities supported by the LLL project in Phadai village include Forestry Land Use Zoning (FLUZ), boundary demarcation, and activities that relate to the protection and management of Production Forest Areas (PFA) and village forests (e.g. surveying, patrolling, forest rehabilitation).

## 2 Applicable Environmental and Social Standards and Legislation

### 2.1 Environmental and Social Standards

Environmental and social management measures to be applied in addressing and mitigating adverse risks and impacts under the LLL Project are in line with the World Bank's Environmental and Social Framework (ESF), the current national regulatory and institutional frameworks, as well as relevant with international practice. All activities and investments within the territory of Phadai village funded by the LLL project, comply to the World Bank's (WB) 10 Environmental and Social Standards (ESSs), which are all applicable to the LLL project, except ESS 9 ('financial intermediaries'). The table 2 below include applicable ESS for activities and investments funded by LLL project for the Phadai village.

**Table 2: Applicable Environmental and Social Standards, WB**

<b>World Bank ESS</b>	<b>Relevance</b>
<b>ESS 1:</b> Assessment and management of environmental and social risks and impacts	All activities/ investments funded by the LLL project require ES screening, scoping and assessment. For the support to Phadai village this VL-ESMP was developed to address/ mitigate any related potential adverse ES risk/ impacts.
<b>ESS 2:</b> Labor and working conditions	Investments funded by the LLL projects in Phadai village include to improve road access to agricultural production areas. This could involve hired labor – their health and safety could be affected. Occupational health and safety standards also need to be ensured of villagers, who attend vocational education related to motorbike repair.  Workers could also face risks of discrimination and labor violations, unequal pay, lack of working contracts and inadequate accommodation/sanitation facilities for workers (female and male).



<b>World Bank ESS</b>	<b>Relevance</b>
<b>ESS 3:</b> Resource efficiency and pollution prevention and management	Investments funded by the LLL projects in Phadai village include to improve road access to agricultural production areas, but also support to agricultural investments could pollute air, soil and water sources. Latter may occur due to inappropriate application of pesticides. Beside this, littering/ solid waste by staff/ villagers during other activities is of concern.
<b>ESS 4:</b> Community health and safety	Health and safety of Phadai villagers could be potentially adversely impacted by inappropriate application of pesticides for agricultural activities, as well as due to access road improvements (in case it is near the village). There is also risk of transmitting diseases to villagers by project staff.
<b>ESS 5:</b> Land Acquisition, Restrictions on Land Use, and Involuntary Resettlement	Zoning/ demarcation in context NPA, PFA and PtFA (especially TPZ), as well as FLUZ could cause loss/ restrict access to forest and natural resource/ economic displacement of users or lack of access to collective land.
<b>ESS 6:</b> Biodiversity conservation and sustainable management of living natural resources	Potential adverse risks and impacts on biodiversity within the territory of Phadai village could be due investments, in case they are done in/ near biodiversity sensitive areas, and due to inappropriate application of agro-chemicals. Beside this, there is potential risk of hired labor/ staff and villagers engaging in illegal wildlife hunting, fishing and consumption.
<b>ESS 7:</b> Indigenous people	Forestry related activities, including small plantations includes the risk of conversion of customary usage rights to communal and/or individual ownership rights, as well as lack of recognition to natural heritage or existing customary land tenure systems of ethnic group in the forested area.
<b>ESS 8:</b> Cultural heritage	Sacred/ spiritual forests and sites are commonly found in villages of the Hmong ethnic group, such Phadai village to worship their traditional beliefs and apply traditional knowledge.
<b>ESS 10:</b> Stakeholder engagement and information disclosure	Stakeholder engagement and disclosure of related information, as well as grievance redress is required for all sub-projects supported by the LLL project, including this one. This is guided by the Stakeholder Engagement Plan (SEP) and Community Engagement Framework (CEF).

## 2.2 Legislation

A comprehensive regulatory framework including various laws, decrees, and instruction/ regulation has been established by the Government of Lao PDR (GoL) to govern and protect the environment, the utilization and conservation of natural resources, as well as to ensure that environmental and social risks and impacts are avoided or mitigated. An overview of important national legislations relevant for this sub-project and safeguard application is provided in the table 3 below.

**Table 3: Overview - Relevant Legislation**

Applicable WB ESS	Related national legislation
<p><b>ESS 1:</b> Assessment and management of environmental and social risks and impacts</p>	<p>Law on Disaster Management, No. 15/ NA; Law on Environment Protection, No. 29/ NA</p> <p>Decree on Environmental Impact Assessment, No. 21/ PMO; Decree on the Promulgation and Enforcement of National Environmental Standards, No. 81/ PMO</p> <p>Decision on Strategic Environmental Assessment, No. 0483/ MoNRE; ESIA Technical Guidelines, No. 2796.1/ MoNRE; Ministerial Instruction on the Conduct of ESIA for Development Projects and Activities, No. 8030/ MoNRE</p>
<p><b>ESS 2:</b> Labor and working conditions</p>	<p>Law on Anti-Trafficking in Persons, No. 73/ NA; Law on Preventing and Combating VAWC, No. 56/ NA; Law on Labour Protection, No. 43/ NA; Law on Lao Women’s Union, No. 31/ NA; Amended Law on Hygiene, Prevention and Health Promotion, NA; Law on Construction, No. 05/ NA; Law on the Protection of the Rights and Interests of Children No. 05/ NA</p> <p>Decree on Occupational Health and Safety, No. 22/ GoL; Order on Measures to Combat, Prevent, Control and Prepare to Combat COVID-19, No. 06/ PMO;</p> <p>Decision on Occupational Health and Safety at Construction Sites, No. 3006/ MLSW</p>
<p><b>ESS 3:</b> Resource efficiency and pollution prevention and management</p>	<p>Law on Water and Water Resources, No. 23/ NA; Law on Environment Protection, No. 29/ NA; Law on Construction, No. 05/ NA;</p> <p>Decree on the Promulgation and Enforcement of National Environmental Standards, No. 81/ PMO</p> <p>Ministerial Instruction on Hazardous Waste Management, No: 0744/ MoNRE</p>
<p><b>ESS 4:</b> Community health and safety</p>	<p>Law on Road Traffic, No. 021/ NA; Law on Anti-Trafficking in Persons, No. 73/ NA; Law on Preventing and Combating VAWC, No. 56/ NA; Amended Law on Hygiene, Prevention and Health Promotion, NA; Law on the Protection of the Rights and Interests of Children No. 05/ NA</p> <p>Decree on Occupational Health and Safety, No. 22/ GoL; Order on Measures to Combat, Prevent, Control and Prepare to Combat COVID-19, No. 06/ PMO;</p> <p>Decision on Occupational Health and Safety at Construction Sites, No. 3006/ MLSW</p>
<p><b>ESS 5:</b> Land Acquisition, Restrictions on Land Use, and Involuntary Resettlement</p>	<p>Amended Land Law, No. 70/ NA;</p> <p>Decree on Compensation and Resettlement of People Affected by Development Projects, No. 84/ GoL</p>
<p><b>ESS 6:</b> Biodiversity conservation and sustainable management of living natural resources</p>	<p>Amended Law on Forestry, No. 08/ NA; Law on Wildlife and Aquatic, No. 07/ NA, currently amended</p> <p>Order on Strengthening Strictness of the Management and Inspection of Prohibited Wild Fauna and Flora, No. 05/ GoL; Order on the Prevention of Harvesting and Buying-Selling of Protected Species, No. 10/ GoL</p>

<b>Applicable WB ESS</b>	<b>Related national legislation</b>
<b>ESS 7:</b> Indigenous people	Decree on Ethnic Groups, No. 207/ GoL; Decree on Code of Conduct for Civil Servants/Officials, No. 184/ GoL Ministerial Instruction on Customary Rights No. 564/ NLMA
<b>ESS 8:</b> Cultural heritage	Law on National Heritage, No. 44/ NA
<b>ESS 10:</b> Stakeholder engagement and information disclosure	Law on Environment Protection, No. 29/ NA; Decree on Environmental Impact Assessment, No. 21/ PMO; Decree on the Promulgation and Enforcement of National Environmental Standards, No. 81/ PMO; Ministerial Instruction on the Conduct of ESIA for Development Projects and Activities, No. 8030/ MoNRE ESIA Technical Guidelines, No. 2796.1/ MoNRE; Public Involvement Guidelines in ESIA Process, No. 707/ MoNRE

### 3 Processes, Responsibilities and Disclosure

#### 3.1 Processes and Responsibilities

In general, potential adverse environmental and social risks and impacts due to activities and investments funded by the LLL project are addressed by applying different ESF instruments described in the Environmental and Social Management Framework (ESMF), the Community Engagement Framework (CEF) and the Stakeholder Engagement Plan (SEP), and dedicated budget for impact and risk monitoring and management.

This village-level ESMP (VL-ESMP) was developed for the Phadai village after obtaining initial Free Prior Informed Consent (FPIC) from the village population on their participation in the LLL project, and before activities by project staff, volunteers, consultants and villagers within the village and funded by the LLL project did commence. All analytical work, and the assessment of environmental and social risks and impacts, selection of tools and mitigation measures, as well as the formulation of this VL-ESMP was done by the appointed environmental and social focal points (ESFP) from the Bolikhan district supported by the ESFPs of the Bolikhamxay province and technical assistance, as well as in close coordination with project coordination units (PCU). This VL-ESMP does not include and address village-specific sub-projects, which will be identified in the context of developing the Community Action Plan (CAP) for the Phadai village.

The CAP will be developed by the appointed ESFPs in close cooperation with the livelihood and FLUZ teams, and will document village-specific sub-projects for livelihood support funded through Village Livelihood Block Grants (VLBG) and for village infrastructure. Initial screening of listed livelihood and village infrastructure sub-projects using the 'positive list' will be conducted by the livelihood team during CAP formulation, as well as a screening using the 'negative list' by ESFPs (both are annexed to CAP). Beside this, initial social screening with focus on land acquisition/ land access restriction takes place. The related screening and report forms and results will be attached to the CAP. Only the eligible sub-projects will be approved, for which full proposals will be developed subsequently.

All developed eligible VLBG and village infrastructure sub-project proposals will undergo further steps of the ES process in accordance to the ESMF as following:

- Scoping of potential adverse site specific ES risks and impacts of proposed investments by the ESFPs using the 'scoping matrix' (Annex 4). Complementary screening of potential

adverse social risks and impacts especially related to restricted access to forest land will be done in context of CAP formulation by ESFPs. The results of scoping determine, if a SS-ESMP is required or other tools should be applied. An assessment of adverse ES risks and impacts will be conducted by ESFPs if results of the scoping exercise require such, by using the related matrix (Annex 5). It is most likely that proposed eligible village infrastructure sub-projects such as access roads, irrigation facilities and water conservation structures) require this. The results, of applying the different assessment matrix including the ones for 'environmental risks and impacts', 'ethnic minority groups', and 'land acquisition and resettlement' will be documented and filed. They provide details of the nature and magnitude of potential adverse ES risks and impacts.

- The results of the assessment of adverse ES risks and impacts will be the foundation to develop the SS-ESMP by the ESFPs, including the selection and description of appropriate mitigation measures to be applied (e.g. using good practices, Annex 5/ ESMF) to efficiently mitigate the identified potential adverse ES risks and impacts. Subsequently, responsibilities and budgets for implementing these measures and their monitoring will complete the SS-ESMP matrix (format follows Annex 03).

Indicative costs related to the mitigation measures as outlined in this VL-ESMP will be detailed in proposals for Village Livelihood Block Grants (VLBG), and village infrastructure (e.g. improvement of access road). The costs are then approved in the context of the approval of the proposals, and therefore they are the responsibility of the particular proponent.

### **3.2 Approval and Disclosure**

This VL-ESMP will be disclosed to the Phadai village, after the PCU/ DAFO, the Phadai village, as well as relevant local stakeholders were consulted appropriately. Only initially, this VL-ESMP has to be approved by WB, until the authority has been transferred to the central Project Coordination Unit (PCU) at the DoF and sub-national line agencies (PAFO, DAFO).

This VL-ESMP, SS-ESMPs that will still be developed, as well as monitoring results will be disclosed under the responsibility of the PCU and appointed ES focal points at different levels (central, sub-national). The VL-ESMP will be disclosed by different means, such as at DoF's website (<http://dof.maf.gov.la/en/home/>), appropriate communication materials, as well as disseminated during various events in the Phadai village and Bolikhan district, Bolikhamxay province. This is to inform relevant stakeholders about potential ES risk and impacts of activities funded by the LLL project in Phadai village, planned risk/ impact tools and measures to be applied, monitoring results, as well as to receive their feedback. Beside disclosing this VL-ESMP, SS-ESMPs and monitoring results via DoF's website, they will be disseminated via other means, such as by WhatsApp and by e-mail as appropriate.

## **4 Community Engagement and Grievance**

### **4.1 Community Engagement**

Meaningful stakeholder's engagement based on the principles of Free Prior Informed Consent (FPIC) prior to formulating the VL-ESMP and continuing during FLUZ and developing the CAP, as well as during implementation. This is an essential requirement from WBs ESS10 and is critical for success and sustainability of activities supported by LLL project in Phadai village. The table 4 below lists all initial consultations including main outcomes, detailed minutes of meetings and lists of participants are attached (Annex 06).

The project in order for the community to take informed decision.

**Table 4: Overview of Stakeholder Consultations**

Event/ Topic	Date	Main outcomes	Participants
Village meeting to introduce LLL project and initial activities	18.03.22	LLL project was introduced, main objectives and support to villages, consent provided by villagers to participate (confirmation letter/ see Annex 6), focal group discussion, selection of vulnerable households/ innovative farmers, village profile data collection; requests/ concerns: review PLUP/ re-allocate more land for agriculture, lack of funds/ techniques for agriculture/ livestock, market access/ opportunities, lack of labor	92 villagers, ES FPs central, province and district (list/ Annex 6)

**4.2 Grievance Redress Mechanism**

The LLL project supports a Grievance Redress Mechanism (GRM) to comply with the WB’s ESS 10 requirements, which is designed based on the existing national GRM system. Therefore, it complements the existing formal legal channels for managing project-related grievances. All details of the GRM are described in the SEP, including organizational structure as well as procedures to receive and address any concerns and complaints about any activity related impacts on project affected people (PAP) and concerned stakeholders.

Potential grievances due to activities and visits by project staff, volunteers and consultants addressed by this VL-ESMP could include for example sexual exploitation and abuse and sexual harassment (SEA/SH) which should be proportionate to the level and nature of the moderate risks.

Grievances will be addressed at all levels, from the village, district, province, and national level. Affected people of the Phadai village can use phone call or directly contact GRM focal persons (Mr. Viengxay Savong, Mobile: 00856 20 22114177; Mr. Daovieng Phongphoumy, Mobile: 00856 20 58848447). A complainant also retains the right to bypass this procedure and can address a grievance directly to the central PCU Office or the National Assembly, as provided for by law in Lao PDR. Information on GRM and contact detail of responsible persons will be provided in a leaflet which will be displayed in all landscape offices and on the billboards in Phadai village office for easily accessible.

A grievant can also fill out a grievance form and submit it to the Village Mediation Committee (VMC) and for ethnic minority or non-literate people, a verbal grievance shall be documented by the VMC. the VMC will document the grievance by using the Initial data collection form provided and signed. The VMC will be required to provide immediate confirmation of receiving a grievance, and should complete an investigation within 14 days of receipt. Then, within 5 days after receipt of the grievance the VMC should meet the Grievant to discuss (mediate) the grievance and advise the complainant of the outcome

Grievances that cannot be resolved at the village level will be brought to the District ESF focal point within the District Coordination Unit that will have 14 calendar days after the receipt to review all available information from the investigation and analyze and investigate each case.

At each level grievance details, discussions, and outcomes will be recorded in a grievance logbook (see Annex 7).

## 5 Description of Potential Adverse Risks and Impacts

### 5.1 Environmental

The environmental features of the Phadai village were described in detail in Chapter 1.3. These environmental characteristics, in combination with initial activities conducted by project staff, volunteers and consultants influence the nature and magnitude of potential adverse environmental risks and impacts. The activities include village and field visits, including meetings for example for community engagement, land use zoning, community action planning and initial livelihood and forestry related activities such as surveys, demarcation and patrolling. Potential adverse environmental risks and impacts are expected to be minor, they are summarized in the table 5 below.

**Table 5: Overview – Potential Adverse Environmental Risks and Impacts**

Activities	Potential adverse environmental risks/ impacts	ESSs Relevant
Village and field visits for community engagement, FLUZ, CAP/ livelihood, SS-ESMP	Littering/ solid waste including none degradable materials (e.g. plastic) causing environmental pollution of village territory by involved project staff, volunteers, consultants	ESS 3
	Illegal wildlife hunting (poaching), consumption and trade by involved project staff, volunteers, consultants	ESS 6
Forestry activities (e.g. surveys, patrolling demarcation)	Littering/ solid waste including none degradable materials (e.g. plastic) causing environmental pollution of village territory by involved project staff, volunteers, consultants and villagers	ESS 3
	Disturbance of biodiversity in sensitive areas (e.g. natural habitats) by involved project staff, volunteers, consultants during field work	ESS 6
	Illegal wildlife hunting (poaching), consumption and trade by involved project staff, volunteers, consultants and villagers	ESS 6

### 5.2 Social

The social features of the Phadai village were described in detail in Chapter 1.3. The potential adverse social risks and impacts of initial activities funded by the LLL project in Phadai village are summarized in the table 6 below.

From a general perspective, and during initial FPIC villagers expressed their concerned about the limited budget available from LLL is not sufficient for a large village like Phadai. Transfer of funds to the village account may also be delayed making it difficult to implement planned activities following the crop seasons.

**Table 6: Overview – Potential Adverse Social Risks and Impacts**

Sub-project activities	Potential adverse social risks/ impacts	ESSs Relevant

<p>Village and field visits for community engagement and initial forestry activities (e.g. surveys, patrolling demarcation)</p>	<p>Risks associated with visit by project personnel may include communicable (air and vector borne) diseases, potential road accidents that may happen to the project personnel and the community members/road users during their trip to the villages, potential risk of GBV or SEA/SH, etc.</p>	<p>ESS 4</p>
<p>Motorbike repair training</p>	<p>Risks associated with visit by project personnel may include communicable (air and vector borne) diseases, potential road accidents that may happen to the project personnel and the community members/road users during their trip to the villages, potential risk of GBV or SEA/SH, etc.</p> <p>Hmong patriarchal system may challenge fair distribution of opportunities and benefits related to the CAP among the community.</p>	<p>ESS 4</p>
<p>Forest Land Use Zoning</p>	<p>Risks associated with visit by project personnel may include communicable (air and vector borne) diseases, potential road accidents that may happen to the project personnel and the community embers/road users during their trip to the villages, potential risk of GBV or SEA/SH, etc.</p> <p>Loss of access to forest and natural resource/ economic displacement of users or lack of access to collective land</p> <p>Lack of recognition to natural heritage or existing customary land tenure systems of ethnic group in the forested area</p> <p>Reallocation of land for households (that would lose access to their land or resource inside the good forest) inside the agroforestry area by the village authorities may trigger or exacerbate conflict and land disputes.</p> <p>Hmong patriarchal system may challenge fair distribution of opportunities and benefits related to the CAP among the community.</p> <p>Risk of insufficient public information and awareness among the project's beneficiaries and weak system of grievance redress for land-related conflicts -linked with the weak performance of the GRM in the village.</p>	<p>ESS 4</p> <p>ESS 5</p> <p>ESS 5-7</p> <p>ESS 5-7</p> <p>ESS 10</p>

## 6 Summary of Tools and Mitigation Measures

### 6.1 Environmental Risks and Impacts

Only minor potential adverse environmental risks and impacts are anticipated due to initial activities funded by the LLL project in Phadai village, which include village and field visits by project staff, volunteers and consultants to prepare future LLL interventions such as community engagement (consultation), land use zoning, community action planning and initial livelihood

and forestry related activities such as surveys, demarcation and patrolling. They can be avoided and mitigated by applying available tools in accordance to the ESMF as following (see also Annex 3):

- Environmental pollution due to littering by project staff, volunteers and consultants and inappropriate disposal of waste, especially non-degradable waste including plastic: All project staff, volunteers and consultants have to commit to the 'list of do's and don'ts on waste handling' (see Annex 8b) by signing them prior to village and field visits;
- Illegal wildlife hunting/ fishing, illegal wildlife consumption and trade by project staff, volunteers and consultants: all of these illegal activities are strictly prohibited. All project staff, volunteers and consultants have to commit to the 'list of do's and don'ts on wildlife' (see Annex 8a) by signing them prior to village and field visits;
- Disturbance of biodiversity in sensitive areas such as natural habitats: Avoid field activities such as surveys in biodiversity sensitive areas and known breeding and shelter sites of endangered species (e.g. nesting sites of birds).

Potential adverse environmental risks and impacts of village-specific investments as determined by the CAP including funding of livelihood interventions via VLBGs and village infrastructure are not subject to this VL-ESMP. They will be identified through scoping and environmental assessment, and avoided and mitigated via appropriate design (e.g. defined eligible options, environmental friendly design of village infrastructure), and appropriate and specific mitigation measures which will be described in SS-ESMPs.

Beside this, the screening and scoping of environmental risks and impacts of VLBG funded livelihood sub-projects, will most likely result that SS-ESMPs are not required, but instead other appropriate tools such as the Environmental Code of Practice (ECOP) based on environmental best practices will be applied in these cases. Guidance on how to apply these tools and related processes and formats are provided in the Environmental and Social Framework (ESMF).

## 6.2 Social Risks and Impacts

During the consultation conducted during the initial FPIC to provide consent to participate in the LLL project, community members including poor men, poor women, representatives from various clans, elders, village administration, etc. were invited to rank their priorities and also formulate concerns. The whole process followed the CEF protocol in terms of participation requirements, providing relevant information to the community so that they can take informed decision. Phadai village is exclusively populated by one single ethnic group (Hmong) managed by the traditional clan system relying on Hmong customary law.

One of the main risks of impact on the local community livelihood is related to the Forest Land Use Zoning (FLUZ). FLUZ is one of the cornerstones of the LLL project as it may result in restrictions in access to forest land and natural resources and in this case, by the 27 households that have encroached inside the forest area. During the FLUZ consultation, it was reported that there is a risk as villagers do not know the boundaries of the good forest. Therefore, there is a need to go and put signs to indicate clearly the boundaries of the good forest. Some villagers were also already using the land inside the good forest prior to the establishment of the forest area by the project teams

The families that would lose access to land inside forest zones are the one that will be prioritized as beneficiaries of the Village Livelihood Development Block Grant (VLDBG) in the Community Action Plan (CAP). One key function of the CAP is then to enable a compensation for households that would face such restrictions and that do not have other means of livelihoods.

Therefore, the FLUZ process includes the identification of households that are likely to face restrictions. However, the CAP is a preliminary identification of the village priorities in terms of activities that the LLL project is able to support. Concrete proposals for sub-projects to be



financed will be formulated considering the available budget, priorities set by the villagers as to who should receive funding, as well as the interests of these potential beneficiaries. The SS-ESMP will be developed for land-based activities supported by the VLDBG or for village infrastructure in order to assess social and environmental risks and impacts.

Hmong patriarchal system may challenge fair distribution of opportunities and benefits among the community. Leading clan may monopolize the project benefits at the expense of weaker clans. And at household level, based on the traditional decision-making process, husbands and brother may access benefits and vocational training opportunities outside the community for instance. The lack of cultural sensitivity and understanding of the local context may undermine the vulnerable and women access to project benefits. Recording details of clan membership would avoid that one single clan monopolize all project benefits.

Risks associated with visit by project personnel (project team, mobile unit) while staying and working in the village areas may include communicable (air and vector borne) diseases, potential road accidents that may happen to the project personnel and the community members/road users during their trip to the villages, potential risk of GBV or SEA/SH, etc.

The "raison d'être" of the CAP is to compensate any households that would face restrictions in access to land, forest or natural resources due to project implementation. Therefore, the list of households that are likely to face restriction in access to land or resources would be the one prioritized by the CAP as recipient of the VLDBG.

Special prerogative must be applied in case a poor household would lose more than 10% of its productive land due to the result of the FLUZ. FPIC has to be conducted once the mapping material is being finalized in order for the whole community (not only the village authority) to fully understand the implication of the Forest Land Use Zoning on local livelihood.

## **7 ESMP Implementation, Monitoring and Supervision**

After this VL-ESMP for Phadai village has been approved, agreed tools and mitigation measures will be applied and implemented by project staff, volunteers, consultants and villagers being involved in the LLL project. Appointed ES focal points, from Bolikhan district (DAFO) and from Bolikhamxay (PAFO), as well as from central level at DoF Production Forest Division will conduct periodic inspection and monitoring missions to check if agreed tools have been used and mitigation measures have been implemented in accordance to the agreed village-level ES management plan matrix for Phadai village (see Annex 3).

The field monitoring form (Annex 11) needs to be filled out by ES focal points of DPCUs during regular field missions to monitor the implementation of agreed tools/ mitigation measures related to the supported activities in Phadai village in consultation of affected beneficiaries and key stakeholders. Results of these missions will be documented and reported to project management and disclosed via different means as described in Chapter 3.2.

Required budget to implement this VL-ESMP includes costs for (1) the application of agreed tools and mitigation measures to address ES risks and impacts, and (2) for monitoring and supervision of VL-ESMP implementation including inspection and monitoring missions by ES focal points mainly and periodically from Phakan district, but also sporadically from Bolikhamxay province and central level/ DoF. Total costs are estimated with 300 US\$, to be provided as part of ESF budget to ES focal points/ PCU members to carry out periodic monitoring/ supervision mission as appropriate) whether all agreed tools were applied and agreed mitigation measures have been fully implemented.



# **Annexes**

**Annex 01: Phadai Village Location within LLL Landscapes**

**Annex 02: Detailed Phadai Village Maps**  
**Phadai Village Location (Google)**

**Existing village land use map**

### Annex 03: Village-level Environmental and Social Management Plan Matrix

Activities	Potential Adverse Risks and Impacts	Mitigation Measures	Implementing Organization	Supervising Organization	Costs US\$
<b>Environment</b>					
Forestry activities (e.g. surveys, demarcation, patrolling)	<p>Littering/ solid waste (none degradable materials)/ environmental pollution due to participating staff/ villagers</p> <p>Disturbance of biodiversity in sensitive areas (e.g. natural habitats, wildlife migration routes)</p> <p>Illegal wildlife hunting (poaching), consumption and trade due participating staff/ villagers</p>	<p>Comply to/ sign the list do's/ don'ts on waste by all project staff, volunteers and consultants prior to forestry activities (Annex 8b)</p> <p>Project staff should collect and bring back all garbage/ solid wastes from field works to the villages/ offices for proper handling and disposal</p> <p>Avoid disturbance of biodiversity in sensitive areas, follow results of HCVA/ zoning, avoid disturb wildlife especially endangered species (e.g. nesting areas of birds)</p> <p>Comply to/ sign 'list do's and don'ts on wildlife' by all project staff, volunteers and consultants prior to forestry activities (see Annex 8a)</p>	Staff from DAFO/ villagers	District/ province ES focal points	100
Trainings, consultations and field visits by project staff/ consultants	<p>Littering/ solid waste including none degradable materials (e.g. plastic) causes environmental pollution by project staff, volunteers and consultants</p> <p>Illegal wildlife hunting (poaching), consumption and trade of wildlife/</p>	<p>Commit to/ sign 'list do's/ don'ts on waste' by all project staff, volunteers and consultants prior to village/ field visits (Annex 8b),</p> <p>Project staff should collect and bring back all garbage/ solid wastes from field works to the villages/ offices for proper handling and disposal</p> <p>Commit to/ sign 'list do's and don'ts on wildlife' by all project staff, volunteers and</p>	Project staff/ consultants	District/ province ES focal points	-

Activities	Potential Adverse Risks and Impacts	Mitigation Measures	Implementing Organization	Supervising Organization	Costs US\$
	parts by project staff, volunteers and consultants	consultants prior to village/ field visits (see Annex 8a)			
<b>Social</b>					
Village and field visits for community engagement and initial forestry activities (e.g. surveys, patrolling demarcation)	Risks associated with visit by project personnel may include communicable (air and vector borne) diseases, potential road accidents that may happen to the project personnel and the community members/road users during their trip to the villages, potential risk of GBV or SEA/SH, etc.	Codes of Conduct (CoC) for project staff and parties involved in the project  Grievance Redress Mechanism (GRM) will be established in the project landscape areas to enable affected persons including victims of SEA, GBV, VAC and Sexually Transmitted Diseases to report and raise their concerns about the potential risks and incidents.	Project staff/ consultants/ villagers	District/ province ES focal points	
Motorbike repair training	Risks of prioritizing leading clan member in training provided outside the community	Record clan membership to avoid that one single clan monopolize all benefits.  Consultation will be conducted in respect with seasonal calendar, in local language and participation requirement as prescribed in the CEF to ensure that the selection of the beneficiaries result from community level decision making process.	Staff from DAFO/ villagers	District/ province ES focal points	-
Forest Land Use Zoning	Risks associated with visit by project personnel may include communicable (air and vector borne) diseases, potential road accidents that may happen to the project personnel and the community members/road users during	Codes of Conduct (CoC) for project staff and parties involved in the project  Grievance Redress Mechanism (GRM) will be established in the project landscape areas to enable affected persons including	Staff from DAFO/ villagers	District/ province ES focal points	200

Activities	Potential Adverse Risks and Impacts	Mitigation Measures	Implementing Organization	Supervising Organization	Costs US\$
	<p>their trip to the villages, potential risk of GBV or SEA/SH, etc.</p> <p>Loss of access to forest and natural resource/ economic displacement of users or lack of access to collective land</p> <p>Lack of recognition to natural heritage or existing customary land tenure systems of ethnic group in the forested area</p> <p>Risk of insufficient public information and awareness among the project's beneficiaries and weak system of grievance redress for land-related conflicts -linked with the weak performance of the GRM in the village.</p> <p>Reallocation of land for households (that would lose access to their land or resource inside the good forest) inside the agroforestry area by the village authorities may trigger or exacerbate conflict and land disputes.</p>	<p>victims of SEA, GBV, VAC and Sexually Transmitted Diseases to report and raise their concerns about the potentials risks and incidents.</p> <p>The list of households that are likely to face restriction in access to land or resources due to the FLUZ should be the one prioritized by the CAP as recipient of the VLDBG.</p> <p>Special prerogative must be applied in case a poor household would lose more than 10% of its productive land due to the result of the FLUZ.</p> <p>FPIC has to be conducted once the mapping material is being finalized in order for the whole community (not only the village authority) to fully understand the implication of the Forest Land Use Zoning on local livelihood.</p> <p>The 27 households that have encroached inside the forest area will not immediately be expelled from the good forest and can continue using their land. However, it will be strictly forbidden to further expand or transfer their use right to others until the procedures and normative guidelines regarding to the recognition of the customary land tenure inside forest land in</p>			



Activities	Potential Adverse Risks and Impacts	Mitigation Measures	Implementing Organization	Supervising Organization	Costs US\$
		process of preparation by MONRE and MAF are available			

#### Annex 04: ES Risks and Impact Scoping Form

This ES Scoping Form that will be used by appointed ES focal points (ESFP) within the Project Coordination Units (PCU) to detect/ scope out potential adverse environmental and social risks and impacts of proposed sub-projects as agreed in CAP. It will help to identify ES risk and impacts, and to specify further actions and use of instruments to be applied. The completed ESS screening form will be signed by persons in charge; and will be filed at PCUs.

#### ES Scoping Form

Name of sub-project/ activity				
Location (village, district, province)				
Proponent				
Estimated budget				
Start/ completion date				
Questions	Answer		ESS	Actions/ instruments to be applied
	Yes	No		
Does the sub-project involve civil works including new construction, expansion, upgrading, or rehabilitation of buildings?			ESS1	
Does the sub-project involve the recruitment of workers including direct, contracted, primary supply, and/or community workers?			ESS2	
Does the sub-project require the procurement/ application of agro-chemicals including pesticides in larger amounts (beyond average/ suggested use intensity)?			ESS3	
Is there a sound capacity in place to control/ monitor the proper application of agro-chemicals, including pesticides?			ESS3	
Does the sub-project is located in UXO contaminated areas, and poses considerable risks towards community health and safety?			ESS4	
Does the project area present considerable Gender-Based Violence (GBV) and Sexual Exploitation and Abuse (SEA) risk?			ESS4	

Does the sub-project involve security or military personnel in construction, operation, and activities?			ESS4	
Does the sub-project require land acquisition?			ESS5	
Does the sub-project cause temporary or permanent loss of land, or access to land and other resources?			ESS5	
Is the sub-project located within or in the vicinity (within 50 m) of any natural habitat?			ESS6	
Will the sub-project modify natural habitats?			ESS6	If yes, no subproject
Will the sub-project have negative effects on wildlife, especially endangered species?			ESS6	If yes, no subproject
Will the sub-project use or promote non-native invasive species?			ESS6	If yes, no subproject
Are there indigenous people (ethnic minority groups) present in the sub-project area and are they likely to be affected negatively?			ESS7	
Is the sub-project located within or in the vicinity of any known cultural heritage sites?			ESS8	
Will the sub-project negatively affect scenic vistas and areas with high tourism potential?			ESS8	
Does the sub-project poses risks of creating social conflicts?			ESS10	

**Conclusions:**

**1. Require EIA and or IEE. Provide Justifications.**

- .....
- .....

**2. Proposed Follow-up, specific ES instruments:**

.....

Remarks. ....

.....

**3. Eligibility:** I confirm that the proposed sub-project/ activity/ investment is eligible for funding by LLL project and requirements.

Signature by subproject/ activities proponent: .....

Position: .....Date .....

Signature by environmental focal point in charge: .....

Position: .....Date .....

Signature by social focal point in charge: .....

Position: .....Date .....

Signature by PCU: .....

Position: .....Date:.....

**Annex 05: Detailed ES Assessment Matrix**

**05a Assessment of Environmental Risks and Impacts – Village Infrastructure Sub-projects**

This Matrix is required for developing ‘SS-ESMP’ for village infrastructure developments, as part of the ES Process. It should be filled out after scoping has resulted in the need to develop an SS-ESMP for a particular village infrastructure proposal. This needs to be done by the environmental and social focal points in cooperation/ consultation of the villages and key stakeholders. The purpose is to assess potential negative environmental and social impacts, in more details, as well as confirm their significance and identify mitigation measures. Any other follow up action that might be required can also be indicated.

<b>Sub-project/ activity name:</b>	<b>Province:</b>
<b>Proponent:</b>	<b>District:</b>
<b>Total budget:</b>	<b>Village(s):</b>

Screening Categories/ Questions	Ye s	No	Comments/ suggestions (e.g. magnitude, mitigation measures)
<b>A Location:</b> Is the sub-project/ investment within or adjacent to any of the following (if within, estimate size that is affected):			
• Protected Areas (TPC, CUZ, BZ)			
• Production Forests (HCVF, others)			
• Protection Forests			
• Natural habitats			
• Well stocked natural forests			
• Secondary/ degraded forests			
• Wetlands			
• Rivers, waterways			
• Important biodiversity, rare species			
• Other important environmental feature			
<b>B Investment specific Potential Environmental Impacts</b>			
<b>B1: Road/ trails specific questions</b>			
1. Encroachment on historical/ cultural areas; disfiguration of the landscape by road embankments, cuts, fills, or quarries?			

Screening Categories/ Questions	Yes	No	Comments/ suggestions (e.g. magnitude, mitigation measures)
2. Encroachment on precious ecology (e.g. sensitive or protected areas)?			
3. Alteration of surface water hydrology of waterways crossed by roads, resulting in increased sediment in streams affected by increased soil erosion etc.?			
4. Deterioration of surface water quality due to silt runoff and sanitary wastes from worker-based camps and chemicals used in construction?			
5. Increased local air pollution due to rock crushing, cutting and filling works?			
6. Noise and vibration due to blasting and other civil works?			
7. Poor sanitation and solid waste disposal in construction camps and work sites, and possible transmission of communicable diseases from workers to local people?			
8. Increased noise and air pollution resulting from increased traffic volume?			
9. Increased risk of water pollution from oil, grease and fuel spills, and other materials from vehicles using the road?			
<b>B2: Irrigation specific questions</b>			
1. Is water supply and availability ensured?			
2. Potential ecological problems due to increased soil erosion and siltation?			
3. Over pumping of groundwater, leading to salinization and ground subsidence?			
4. Impairment of downstream water quality, and therefore, impairment of downstream beneficial uses of water?			
5. Water logging, soil salinization or sanitary intrusion due to inadequate drainage and farm management?			
6. Leaching of soil nutrients and changes in soil characteristics due to increased and excessive application of irrigation water?			
7. Reduction of downstream water supply during the dry season or main crop season (access if water may be in short supply)?			
8. Soil pollution, polluted from farm runoff and groundwater, and public health risks due to excessive application of fertilizers and pesticides?			
9. Soil erosion (from furrows or surface)?			
10. Scouring of canals?			
11. Clogging of canals by sediments/ weeds?			
12. Predict adequate water quality for its purpose (e.g. irrigation, water supply) during operation?			

Screening Categories/ Questions	Ye s	No	Comments/ suggestions (e.g. magnitude, mitigation measures)
13. Inadequate buffer zone around pumping and treatment plants to alleviate noise and other possible nuisances, and to protect facilities from contamination, etc.?			
<b>Part C</b>			
Was consultation conducted with beneficiaries?			

**Conclusions:**

**Confirm IEE and EIA is required. Provide Justifications.**

- .....
- .....

**Proposed Follow-up, specific ESMP/ ES instruments:**

.....

Remarks. ....

.....

**Confirm eligibility:** I confirm that the proposed sub-project/ activity/ investment is eligible for funding by LLL project and requirements.

Signature by subproject/ activities proponent: .....

Position: .....Date .....

Signature by environmental focal point in charge: .....

Position: .....Date .....

Signature by PCU: .....

Position: .....Date:.....

## 05b Assessment of Environmental Risks and Impacts – Livelihood Sub-projects

This Matrix is required for developing 'SS-ESMP' for village infrastructure developments, as part of the ES Process. It should be filled out after scoping has resulted in the need to develop an SS-ESMP for a particular village infrastructure proposal. This needs to be done by the environmental and social focal points in cooperation/ consultation of the villages and key stakeholders. The purpose is to assess potential negative environmental and social impacts, in more details, as well as confirm their significance and identify mitigation measures. Any other follow up action that might be required can also be indicated.

<b>Sub-project/ activity name:</b>	<b>Province:</b>
<b>Proponent:</b>	<b>District:</b>
<b>Total budget:</b>	<b>Village(s):</b>

Screening Categories/ Questions	Ye s	No	Comments/ suggestions (e.g. magnitude, mitigation measures)
<b>A Location:</b> Is the sub-project/ investment within or adjacent to any of the following (if within, estimate size that is affected):			
• Protected Areas (TPC, CUZ, BZ)			
• Production Forests (HCVF, others)			
• Protection Forests			
• Natural habitats			
• Well stocked natural forests			
• Secondary/ degraded forests			
• Wetlands			
• Rivers, waterways			
• Important biodiversity, rare species			
• Other important environmental feature			
<b>B Investment specific Potential Environmental Impacts</b>			
<b>B4: Livelihood/ agricultural production specific questions</b>			
1. Ecological disturbances arising from the establishment of the production area near sensitive habitats?			
2. Eventual degradation of water bodies due to discharge of wastes and other effluents from establishment or production?			



Screening Categories/ Questions	Ye s	No	Comments/ suggestions (e.g. magnitude, mitigation measures)
3. Contamination of soil and groundwater due to application of agro-chemicals?			
4. Pollution from discharge of liquid effluents (e.g. oil from machinery)?			
5. Aggravation of solid waste/ littering problems in the area?			
6. Increased impacts (occurrence) of soil erosion, loss of soil fertility (for instance from intensification of production and monocrop practices)?			
7. Reduced water conservation?			
8. Accidental release of potentially hazardous solvents, acidic and alkaline materials?			
<b>Part C</b>			
Was consultation conducted with beneficiaries?			

**Conclusions:**

**Confirm IEE and EIA is required. Provide Justifications.**

- .....
- .....

**Proposed Follow-up, specific ESMP/ ES instruments:**

.....

Remarks. ....

.....

**Confirm eligibility:** I confirm that the proposed sub-project/ activity/ investment is eligible for funding by LLL project and requirements.

Signature by subproject/ activities proponent: .....

Position: .....Date .....

Signature by environmental focal point in charge: .....

Position: .....Date .....

Signature by PCU: .....

Position: .....Date:.....

**05c Assessment Matrix – Ethnic Minority Groups**

This assessment matrix should be filled out for each proposed sub-project/ activity/ investment by the ES focal points in cooperation/ consultation of affected beneficiaries and key stakeholders. The purpose is to assess potential adverse social impacts, especially related to indigenous people concerns (ESS 07), to confirm their significance, identify mitigation measures and required follow up.

<b>General information</b>			
<b>Sub-project/ investment:</b>		<b>Province:</b>	
<b>Proponent:</b>		<b>District:</b>	
<b>Total budget:</b>		<b>Village (s)</b>	
<b>Brief description of activities and project area:</b> Proposed activities, number of villages/ households affected, describe socio-economics of communities to be affected			
<b>Assessment Questions</b>	<b>Yes</b>	<b>No</b>	<b>Comments/ suggestions</b>
Are there ethnic minority groups present in the project area? If yes, how many different groups?			
Do they live in mixed communities with non-ethnic minority people?			
Do they maintain distinctive customs or economic activities?			
If yes, do any of these customs or economic activities may make them vulnerable to hardship?			
Will the project restrict their economic or social activity?			
Will the project affect or change their socio-economic and cultural integrity?			
Will the project disrupt their community life?			
Will the project positively affect their health, education, social activity, livelihoods or security?			
Will the project alter or undermine the recognition of their knowledge?			
Will the project preclude customary behaviour or undermine customary institutions?			

If impacts on ethnic minority groups are expected:			
- Are there sufficient skilled staff in the Executing Agency for preparing an assessment and identifying suitable mitigation measures (preparing an ethnic minority development plan [EMDP])?			
- Are training and capacity-building interventions required prior to EMDP preparation and implementation?			
In case of no disruption to ethnic minority community life as a whole, will there be loss of housing, land, crops, trees or access to resources owned, controlled or used by ethnic minority households?			
<b>Potential impacts on ethnic minority people</b>			
<b>Project activity</b>	<b>Anticipated positive effect</b>	<b>Anticipated negative effect</b>	

<b>Categorization of significance of impacts</b>	
[ ] Require IEE and or EIA – reject/ redesign the sub-project/ investment	
[ ] Identify/ specific action in context of developing Ethnic Minority Development Plan	
[ ] Include mitigation actions into ESMP	
Assessment matrix compiled by:	
Name:	Signature:
Designation:	
Date:	
Assessment matrix verified by:	
Name:	Signature:
Designation:	

Date:

### 05d Assessment Matrix – Land Acquisition and Resettlement

This assessment matrix should be filled out for each proposed sub-project/ activity/ investment by the ES focal points in cooperation/ consultation of affected beneficiaries and key stakeholders. The purpose is to assess potential adverse social impacts, especially related to land acquisition and restricted land use (ESS 05), to confirm their significance, identify mitigation measures and required follow up.

General information			
<b>Sub-project/ investment:</b>	<b>Province:</b>		
<b>Proponent:</b>	<b>District:</b>		
<b>Total budget:</b>	<b>Village (s)</b>		
<b>Brief description of activities and project area:</b> Proposed activities, number of villages/ households affected, describe socio-economics of communities to be affected			
Assessment Questions	Yes	No	Comments/ suggestions
Has the village been resettled or physically consolidated during the last 5 years or planned to be physically resettled in during the next 5 years?			
Does the subproject require land acquisition for development (public or private, temporary or permanent)?			
Will voluntary land donation may be necessary or an option?			
What proportion of people holdings will be affected?			
Will there be adverse impacts on people's livelihoods?			
Does the subproject cause house demolition (including operating and non-operating ones) due to development?			
Are people prohibited from using their daily economic resources (such as fishing sites, economic forests, planting land)?			
Does the subproject result in involuntary resettlement of individuals or families?			
If yes			

Have affected people been clearly explained that they are entitled for compensation for land acquired for the sub-project at replacement cost?			
Has alternative technical solutions or design adjustments been explored to avoid or minimize impact?			
<b>Information on affected people</b>			
Any estimate of the likely number of households that will be affected by the project? <input type="checkbox"/> ]			
Yes; <input type="checkbox"/> ] No			
If yes, approximately how many households?			
Are any of the households vulnerable i.e. households that (i) are headed by divorced or widowed females with dependents and low income; (ii) include disabled or invalid persons; (iii) include persons falling under the generally accepted indicator for poverty as defined by the Ministry of Labour and Social Welfare, or the landless; and/or, (iv) are elderly with no means of support? <input type="checkbox"/> ] Yes; <input type="checkbox"/> ] No			
If yes, approximately how many households?			
If yes, briefly describe their situation:			
Are any of the households from ethnic minority groups? <input type="checkbox"/> ] Yes; <input type="checkbox"/> ] No			
If yes, briefly describe their situation:			
<b>Categorization of Impact Significance</b>			
<input type="checkbox"/> ] Require IEE and or EIA – reject/ redesign the sub-project/ investment			
<input type="checkbox"/> ] Identify/ specific action in context of developing Ethnic Minority Development Plan			
<input type="checkbox"/> ] Include mitigation actions into ESMP			
<input type="checkbox"/> ] Require a resettlement plan			
Assessment matrix compiled by:			
Name:		Signature:	
Designation:			
Date:			
Assessment matrix verified by:			
Name:		Signature:	

Designation:
Date:

**Annex 06: Documentation - FPIC and Consultation  
Consent to participate in LLL Project**

**Translation of consent to participate in LLL Project**

Lao People’s Democratic Republic  
Peace Independence Democracy Unity Prosperity

Bolikhamsay Province  
Bolikhhan District  
Phadai Village

File Nor. **124**  
**Date** 18.3.22

Consent Confirmation Letter for participating  
in LLL project’s activity implementation

On the basis of

- District governor’s agreement on village land use planing (amendment or approval)
- Community engagement framework
- LLL POM
- Free Prior and informed Consent
- Component 2 of LLL, any village participated in LLL activities is entitled to receive a Village Livelihood Development Grant (VLDG) that the project will support through village development fund.

The community agrees to participate in activity implementation of PFA, PtFAs, PLUP, CAP, CCA, therefore requesting the project to transfer fund (or VLDG) to the account of VDF:

Amount of fund: .....

Name of VDF: .....

The supporting documents: .....

Village head of Phadai

Cherpaoyang Tongphia



## **Participant list**

## **Minutes of Meeting**

**Minutes of Consultation Meeting**



## Translation Minute of Consultation Meeting

Lao People's Democratic Republic  
Peace Independence Democracy Unity Prosperity

Bolikhamsay Province

Bolikhhan District

Phadai Village

File Nor. ....

### The minute of village consultation

On 18 March 2022, 8:00am, the village consultation meeting was organized and chaired over by Mr. Khamkhoun Phimsavanh, deputy head of Productive Forest Division under DoF/MAF and with a participation of 92 people of them 52 people are females.

#### Topics of the meetings:

- Topic 1: An overview of LLL project
- Topic 2: FPIC
- Topic 3: Village profile (socio-economic data collection)
- Topic 4: Villagers' consent to participate in LLL activity implementation
- Topic 5: Selection and priority of livelihood activities
- Topic 6: Community action plan
- Topic 7: Community conservation agreement
- Topic 8: Environmental and social management plan

#### Concerns and suggestions raised by participants:

- Proposing the relevant authority/project to redo participatory land use plan due to not enough allocated PLUP
- Uncertain market for villagers' products
- Difficulty of transporting products to market due to poor access
- Lack of fund to purchase seeds/livelihood investment
- Villagers are unable to collect non-timber forest products if access restriction imposed
- Lack of experience for planting mushroom
- Wildlife destroyed products
- Lack of techniques for preventing animal diseases
- Lack of techniques for crops plantation
- Lack of techniques for animal raising

All concerns and suggestions raised by participants had been recorded

- The project will try its best to find solution and request villagers to identify their priority activities in order to address their concerns and needs

#### Agreement reached

- The project will take villagers' concerns, proposals and suggestions in to consideration
- Villagers agree to participate in LLL project's activity implementation based on community conservation agreement and community action plan

Signatures of village head:

Recorded by

Cherpaoyang Tongphia

Anouphab



## **Annex 08: Lists Do's and Don'ts Wildlife and Waste**

### **08a: Wildlife Consumption and Trade**

This list of Do's and Don'ts on wildlife trade and consumption intends to avoid and minimize impacts and risks towards biodiversity within the LLL priority landscapes, and relates to Sub-chapter 5.7. Such risks and impacts may occur due to duty mission by project staff, consultants and other personnel to the priority landscapes and villages, who may consume or trade wildlife or parts, or be involved in such activities. This would create additional market opportunity and potentially increases poaching/ hunting, finally resulting in reduced wildlife/ negative impacts on biodiversity. The trade of wildlife and parts, as well as consumption of wildlife is prohibited except for household consumption of manageable species in accordance to the Law on Wildlife and Aquatic Animals and other related regulation. This list should prevent project staff, consultants and other project personnel becoming involved in wildlife consumption and trade related activities during duty missions to priority landscapes, and supported villages. The list will be handed out and explained to all project staff, consultants and others, and is expected to be signed to acknowledge/ commit to it.

#### **Don'ts**

- Do not buy and/ or sale wildlife, wildlife parts or products in markets, or directly from villagers;
- Do not encourage, support or tolerate other colleagues or team members to buy and/ or sale wildlife, wildlife parts or products in markets, or directly from villagers or traders;
- Do not consume wildlife meat or other edible wildlife parts in restaurants or in villages;
- Do not invite, encourage or tolerate other colleagues or team members to consume wildlife meat or other edible wildlife parts in restaurants or in villages;
- Do not be a middle man, or otherwise be involved, support or promote the sale wildlife, wildlife parts or meat;
- Do not encourage and tolerate other colleagues or team members being a middle man, or otherwise be involved, support or promote the sale wildlife, wildlife parts or meat;
- Do not take part or support poaching and hunting of wildlife;
- Do not encourage and tolerate other colleagues or team members being involved and/ or supportive to poaching and hunting wildlife.
- Do not take part in storage and processing of wildlife parts;
- Do not encourage and tolerate other colleagues or team members being involved and/ or supportive to storage and processing of wildlife parts.

#### **Do's**

- Inform yourself about laws and regulations related to wildlife conservation and protection;
- Inform yourself about health and other risks due to the consumption of wildlife, edible parts and meat;
- Promote conserving wildlife by informing other colleagues or team members about laws and regulations related to wildlife conservation and protection;
- Promote conserving wildlife by informing other colleagues or team members about the health and other risks the consumption of wildlife, edible parts and meat;

- Inform PCU and/ or relevant authorities if you become aware that wildlife, wildlife parts or meat is sold in markets, or on the road by villagers and traders;
- Inform PCU and/ or relevant authorities if you become aware that wildlife, wildlife parts or meat is transported;
- Inform PCU and/ or relevant authorities if you become aware that wildlife is kept alive in cages or other facilities, such as in restaurants, guesthouses or in villages;
- Inform PCU and/ or relevant authorities if you become aware about poaching and hunting activities;
- Inform PCU and/ or relevant authorities if you become aware about wildlife parts being stored and/ or processed.

### **08b: Littering and None-degradable Solid Waste**

This list of Do's and Don't's on littering and non-degradable solid waste intends to avoid and minimize the use of non-degradable materials such as made from plastic and related littering within the priority landscapes, and related pollution risks and impacts. It relates to Sub-chapter 5.8. Such risks and impacts may occur due to duty mission by project staff, consultants and other personnel, as well as events organized by the project in the priority landscapes and villages. This list should reduce the use of non-degradable materials and related littering by project staff, consultants and other project personnel, as well as participants of events organized by the LLL project. The list will be handed out and explained to all project staff, consultants and others, and is expected to be signed to acknowledge/ commit to it.

#### **Don't's**

- Do not litter waste in the nature or anywhere else (e.g. throwing plastic bags/ food packages out of car windows, or dropping when walking in towns/ villages);
- Do not dispose collected garbage in the nature or anywhere else (e.g. garbage from meetings and other events);
- Do not burn or bury waste in the landscape or in town/ villages;
- Do not allow animals (e.g. dogs, cats, pigs) to scavenge on waste.

#### **Do's**

- Inform yourself about non-degradable waste and impacts on the environment;
- Always try to follow the principle of avoiding, reducing and recycling of any kind of solid waste;
- Reduce/ minimize your use articles such as packages made out of non-degradable materials such as plastic (e.g. plastic bags, straws, plastic spoons/ forks/ knives);
- Use as much as possible articles such as packages made from degradable materials (e.g. traditional wrapped sweets in banana leaves);
- Encourage colleagues and other team members to use of packages made from degradable materials (e.g. traditional wrapped sweets in banana leaves);
- Minimize the use of articles made of non-degradable materials during events, meetings and others (e.g. plastic spoons/ forks, knives, plates, cups);
- Provide waste disposal bins, and ensure that waste from events/ meetings is collected and separated into degradable/ non-degradable as well as items to be recycled, and after this dispose them properly;

- Drink coffee, juice and other beverages in restaurants, coffee shops from ceramic cups and glasses (e.g. reject drinking beverages out of plastic cups when consuming drinks in restaurants);
- Avoid drinking water in small plastic bottles, such as for events/ meetings or during field missions, instead use water out of large bottles and refillable containers;
- Inform PCU and/ or relevant authorities if you become aware of serious cases of waste disposal in landscapes and villages.

Name: \_\_\_\_\_

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

Title: \_\_\_\_\_

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



## **Annex 09: Code of Conduct, Contractors**

The purpose of this Code of Conduct (CoC) is to provide advice on the standards of behavior that are required of contractors and their workers to protect project participants and communities from sexual exploitation and abuse and child abuse. It provides guidance, promotes ethical behavior and sets expectations across all project locations.

Contractors and their workers must uphold and promote the highest standards of ethical and professional conduct and abide by this Code of Conduct. All contractors and their workers will be required to read, understand, sign and commit to this Code of Conduct.

### **Instructions:**

This Social Code of Conduct (COC) should be included in bidding documents for the civil works contractor(s) and in their contracts once hired.

#### Manager's Code of Conduct

1. The contractor is committed to ensuring that the project is implemented in such a way which minimizes any negative impacts on the local environment, communities, and its workers. This will be done by respecting the environmental, social, health and safety (ESHS) standards, and ensuring appropriate Occupational Health and Safety (OHS) standards are met.
2. The contractor is also committed to creating and maintaining an environment where children under the age of 18 will be protected, and where sexual abuse and sexual harassment have no place. Improper actions towards children, Violence Against Children (VAC), sexual abuse/harassment, and/or acts of Gender-Based Violence (GBV) will not be tolerated.
3. Workers at all levels have a responsibility to uphold the contractor's commitment and must adhere sign the Code of Conduct (COC). The COC abide to the Cultural Heritage Framework (CHF), the Labor Management Process (LMP), the Community Health and Safety Plan (CHSP) embedded in the ESMF and Community Engagement Framework.

### **Implementation**

4. As follows:
  - a. To ensure maximum effectiveness of the COC:
    - (i) Prominently displaying the COC in clear view at workers' camps, offices, and in public areas of the workspace. Examples of areas include waiting, rest and lobby areas of sites, canteen areas and health clinics.
    - (ii) Ensuring all posted and distributed copies of the COC are translated into the appropriate language of use in the work site areas as well as for any international staff in their native language.
  - b. Verbally and in writing explain the COC to all staff, including in an initial training session.
  - c. Ensure that:
    - (i) All staff sign the 'Individual Code of Conduct', including acknowledgment that they have read and agree with the COC.
    - (ii) Staff lists and signed copies of the Individual Code of Conduct are provided to the OHS Manager and the MOH Focal Point.
    - (iii) Participate in training and ensure that staff also participate as outlined below.
    - (iv) Put in place a mechanism for staff to:
      - report concerns on ESHS or OHS compliance; and,

- confidentially report GBV incidents through the Grievance Redress Mechanism (GRM)
- (v) Staff are encouraged to report suspected or actual ESHS, OHS, GBV, VAC issues, emphasizing the staff's responsibility in compliance with applicable laws and to the best of your abilities, prevent perpetrators of sexual exploitation and abuse from being hired, re-hired or deployed. Use background and criminal reference checks for all employees nor ordinarily resident in the country where the works are taking place.
- d. Ensure that when engaging in partnership, sub-contractor, supplier or similar agreements, these agreements:
  - (i) Incorporate the ESHS, OHS, GBV, VAC Codes of Conduct as an attachment.
  - (ii) Include the appropriate language requiring such contracting entities and individuals, and their employees and volunteers, to comply with the Individual Codes of Conduct.
  - (iii) Expressly state that the failure of those entities or individuals, as appropriate, to ensure compliance with the ESHS and OHS standards, take preventive measures against GBV and VAC, investigation of allegations to be conducted by responsible agencies or authorities thereof, or corrective actions taken when GBV or VAC has occurred. These shall not only constitute grounds for sanctions and penalties in accordance with the Individual Codes of Conduct but also termination of agreements to work on or supply the project.
- e. Provide support and resources to create and disseminate staff training and awareness-raising strategy on GBV, VAC and other issues highlighted in the ESMF.
- f. Ensure that any GBV or VAC complaint warranting Police action is reported to the Police, MOH and the World Bank immediately.
- g. Report and act in accordance with the agreed response protocol any suspected or actual acts of GBV or VAC.
- h. Ensure that any major ESHS or OHS incidents are reported to MOH and the supervision engineer immediately, non-major issues in accordance with the agreed reporting protocol.
- i. Ensure that children under the age of 18 are not engaged in any hazardous activities or otherwise employed.

### **Training**

- j. The contractors are responsible to:
  - (i) Ensure that staff have a suitable understanding of the ESMF, in particular OHS aspects, as well as GBV and VAC and are trained as appropriate.

### **Response**

- k. Managers will be required to take appropriate actions to address any ESHS or OHS incidents.
- l. Regarding GBV:
  - (i) Maintain the confidentiality of all employees who report or (allegedly) perpetrate incidences of GBV (unless a breach of confidentiality is required to protect persons or property from serious harm or where required by law).
  - (ii) If a manager develops concerns or suspicions regarding any form of GBV by one of his/her direct reports, or by an employee working for another contractor on the same work site, s/he is required to report the case using the GRM.

- (iii) Once a sanction has been determined by the GRM, the relevant manager(s) is/are expected to be personally responsible for ensuring that the measure is effectively enforced, within a maximum timeframe of 14 days from the date on which the decision to sanction was made by the GRM.
- (iv) If a Manager has a conflict of interest due to personal or familial relationships with the survivor and/or perpetrator, he/she must notify the Company and the GRM. The Company will be required to appoint another manager without a conflict of interest to respond to complaints.
- (v) Ensure that any GBV issue warranting Police action is reported to the Police, MOH and the World Bank immediately
- m. Managers failing address ESHS or OHS incidents or failing to report or comply with the GBV provisions may be subject to disciplinary measures, to be determined and enacted by the Company. Those measures may include:
  - (i) Informal warning;
  - (ii) Formal warning;
  - (iii) Additional Training;
  - (iv) Loss of up to one week's salary;
  - (v) Suspension of employment (without payment of salary), for a minimum period of 1 month up to a maximum of 6 months;
  - (vi) Termination of employment.
- n. Ultimately, failure to effectively respond to ESHS, OHS, VAC and GBV cases on the work site by the company's managers may provide grounds for legal actions by authorities.

*I do hereby acknowledge that I have read the Code of Conduct, do agree to comply with the standards contained therein and understand my roles and responsibilities to prevent and respond to ESHS, OHS, VAC and GBV requirements. I understand that any action inconsistent with this Code of Conduct or failure to act mandated by this Code of Conduct may result in disciplinary action.*

Name: \_\_\_\_\_

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

Title: \_\_\_\_\_

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

## **Annex 10: Labor Management Procedure**

This Annex 12 relates to Sub-chapter 5.10. The ESS2 recognizes the importance of employment creation and income generation in the pursuit of poverty reduction and inclusive economic growth. The Labor Management Procedures for the LLL Project are consistent with principles, regulations, measures provisions of:

- Labor Law of Lao PDR No.43/NA/24 December 2013
- Law on the Development and Protection of Women, NA/08/ 2004
- Law on Civil servant, NA/74/18/12/2015
- Decree on COC for public servants The Decree 184/26/06/2019
- ILO Convention of which Lao PDR is a signatory
- Principle 4 on “Community Relations and Worker’s Rights” of the Forest Stewardship Council, specifically Criterion 4.2 of Principle 4 and is in line with the ESS2 on Labor and Working Conditions.

### **Objective of the LMP**

- To promote safety and health at work.
- To promote the fair treatment, non-discrimination, and equal opportunity of project workers.
- To protect project workers, including vulnerable workers such as women, persons with disabilities, children and ethnic men and women, contracted workers, community workers, and primary supply workers, as appropriate.
- To prevent the use of all forms of forced labor and child labor.
- To support the principles of freedom of association and collective bargaining of project workers in a manner consistent with national law.
- To provide project workers with accessible means to raise workplace concerns.

### **Applicability**

The scope of application of the LMP depends on the type of employment relationship between the Borrower and the project workers. It applies to project workers including full-time, part-time, temporary, seasonal and migrant workers in project operations in PFAs, Pas or PtFAs.

The term “project worker” refers to:

- (a) **Direct workers:** people employed or engaged directly by the project (including the project proponent and the project implementing agencies) to work specifically in relation to the project;
- (b) **Contracted workers:** people employed or engaged through third parties (contractors, subcontractors, etc.) to perform work related to core functions of the project, regardless of location;
- (c) **Primary supply workers:** people employed or engaged by the Borrower’s primary suppliers;
- (d) **Community workers:** people employed or engaged in providing community labor.

### **Working Conditions and Management of Worker Relationships**

- The project shall implement a program of worker safety, such as but not limited to training of participating villagers in the proper conduct of project operations, to avoid or reduce the risk of accident and to respond properly and expediently to accident, if it occurs.

- The information collected within the project including socioeconomic or natural resource survey shall remain confidential

### **Wages and other benefits**

- When providing wages for government staff and villagers in project operations, the project shall ensure that the wages are consistent with prevailing government standards without unauthorized deductions.
- The Project shall include contract provisions with private actors on worker wages and other benefits and related compensation that are fair and consistent with prevailing local standards.

### **Operational Health and Safety (OHS) measures**

- a. The district office or private contractor, as the case may be, shall install appropriate measures to ensure workplace health and safety of workers in project operations.
- b. Machinery, equipment, and procedures shall be safe and do not pose a danger to the health of forest workers.
- c. Regular inspection of first aid and other safety kits and providing improvements to those that are inappropriate or replacement to those already consumed.
- d. Assess risk to villagers' and forest workers' health and safety in project operations incorporating these in relevant training or reports.
- e. Provide training and supply information so that villagers and forest workers may undertake their work safely.
- f. For this project, the minimum age will be 18 years. This rule will apply for both national and international workers. Workers will be required to provide proof of their identify and age before commencing any works on site
- g. Young children (< 12 years) shall not be present in the work area. If they accompany their parents to work, they shall be provided a separate area outside the work area where they are looked after by an adult (< 18 years)
- h. Prohibit the use of addictive substances or drink, or any mind-altering substances in and around the workplace.
- i. Appoint staff responsible for labor health and safety in project operations.
- j. In case of injury in labor accident or occupational disease, the district of private contractor shall take the responsibility for the cost of the treatment as determined in the Law on Social Insurance.
- k. The project will provide Occupational Health and Safety (OHS) training that will cover relevant aspects of OHS associated with daily work and emergency arrangements
- l. The project will establish procedures for managing and monitoring the performance of such third parties in relation to the requirements of the ESS4 and will incorporate the requirements of the ESS4 into contractual agreements with third parties, together with appropriate noncompliance remedies
- m. The project will ensure working hours are in accordance with local regulation and industry practice and voluntary overtime is at manageable levels
- n. The project will provide clear and uniformly applied disciplinary practices and grievance procedures that include provisions prohibiting mental, physical or verbal abuse

## **Non-discrimination and Equal Opportunity**

- The employment of project workers will be based on equal opportunity and fair treatment, and there will be no discrimination with respect to any aspects of the employment relationship, such as recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment based on gender, ethnicity, etc.
- The project will promote gender and ethnic equality in hiring, providing opportunity for training, study tour, capacity building opportunities according to the article 12 and 18 of the Labor Law.

**Article 12. Professional and Skills Development:** Professional and skills development focuses on creating conditions for women to receive professional training, to acquire skills and experience, and to have employment discipline so that women can have the same employment [opportunities] in society as men.

**Article 19. Rights and Interests in Employment:** Women have rights and interests in the context of employment, such as [the rights] to work in safe conditions and environments, to social security, and to remuneration and other benefits as provided by laws and regulations.

## **Resolution of Labor Disputes**

Labor disputes arise when an employer and its employees cannot reach consensus on a labor issue. Labor disputes are divided into two types: (1) Disputes concerning the implementation of the Labor Law, internal regulations of the labor unit, labor regulations, employment contracts, or other legislation relating to labor; (2) Disputes relating to benefits, which refers to disputes relating to claims by employees for new rights and benefits which they request their employer to resolve.

Resolution of labor disputes will be undertaken according to the methods prescribed in the Article 148, 149, 150, 151, 152 and 153 of the Amended Labor Law, No.43/NA/24 December 2013 and consisting in: compromise, administrative resolutions, resolution by the committee for labor dispute resolution, court rulings or dispute resolution consistent with international protocols.

## **Emergency Preparedness and Response (ERP)**

Emergency event is an unanticipated incident, arising from both natural and man-made hazards. In case of emergency events which may occur for a variety of different reasons, including failure to implement operating procedures that are designed to prevent their occurrence.

Where possible, ERP actions foresee emergencies that are likely to occur and pre-plan key components of a response. Though plans will need to be revised if the event happens, preparedness makes it possible to respond faster, more appropriately and efficiently, and to make decisions on the basis of more reliable information.

Staff at every level are likely to respond more effectively if training, analysis, planning, pre-positioning, and information collection have occurred, coordination mechanisms have been established, and simulation exercises held.

When an emergency occurs, the first priority is always life safety. The second priority is the stabilization of the incident. There are many actions that can be taken to stabilize an incident and minimize potential damage.

The project will abide to regulation formulated by the National Disaster Prevention and Control Committee (NDPCC) responsible for disaster preparedness and management as a center of coordination in national disaster management. The project will enforce regulations and disseminate information advertised by the National Flood and Drought Committee, and

concerning communicable diseases, the project will follow the lead of the National Committee on Communicable Disease Control (NCCDC).

The project will acquire and share risk profiles of hazards and their impacts at national and provincial levels, which allows the assessment of exposure and vulnerability of areas to enable effective emergency and response plans and strategies.

- All **work sites** will identify potential hazards and actions to be taken in case of emergency
- Workplace processes will be put in place for project workers to **report** work situations that they believe are not safe or healthy, and to remove themselves from a work situation which they have reasonable justification to believe presents an imminent and serious danger to their life or health
- **Weather.** Some severe weather events can be forecast hours before they arrive, providing valuable time to prepare. The project will inform all staff in case a major weather event is known in order for the field staff to avoid going out to the field or come back to from the field if possible.
- **Fire.** In case of a local fire, all people shall cease all other activities in a safe manner immediately and take actions to extinguish the fire with the available firefighting equipment. If the people are unable to extinguish the fire, they should call the competent authorities for assistance, while taking actions to secure the access ways to the burning site and prevent spreading of the fire inside and outside the site. In case of fire outbreak in buildings, fire extinguisher should be available and each exit must be clearly visible and marked by a sign reading "Exit."
- **Disease outbreak.** In case of disease outbreak or pandemic (such as Covid 19), the project will contact each stakeholder and provide directives in line with National protocol. Notification measure include phone, what's app, messenger, project website, official letter (zhengkan).
- The project safeguard team at each level will be in charge of providing training, coordinating EPR implementation and monitoring.
- A system for regular **review** of occupational safety and health performance and the working environment will be put in place and include identification of safety and health hazards and risks, implementation of effective methods for responding to identified hazards and risks, setting priorities for taking action, and evaluation of results.
- The project will develop a **list of contact** information for all internal and external resources and personnel to contact in case of various emergency scenarios. The list should include the name, description, location, and contact details (telephone, email) for each of the resources, and be maintained annually.
- Environment Protection Law No, 29, NA, 18/12 /2012. Disaster management plan or law article 62 natural disaster, 63 mitigations and 64 prevention through raising awareness to grassroots and under the leadership of national disaster preparedness under MONRE.

**Annex 11: Village-level ESMP Monitoring Form**

Province:		District:		Location – sketch map attached		
				YES	NO	
Village:		Sub-project:				
<b>Type of Monitoring:</b>						
Monthly			Bi-annually			
Quarterly			Annual			
Others:						
No	Description/ measures according to ESMP	G o o d	S a t i s f a c t o r y	P o o r	Comments	
<b>Detailed description of observations and comments (add sheets if required)</b>						



--

Distributed to	Yes	No	Date
PCU			
DAFO			
DoNRE			
Others (list below)			
Monitoring form compiled by:			
Name:		Signature:	
Designation:			
Date:			
Monitoring Form verified by:			
Name:		Signature:	
Designation:			
Date:			