



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

**Environmental and Social  
Management Framework (ESMF)  
1<sup>st</sup> Update**

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Version 9

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## Abbreviations

AF	Additional Financing
ARF	Access Restriction Framework
CBD	Convention on Biological Diversity
CCM	Convention on Cluster Munition
CEDAW	Convention to Eliminate Discrimination against Women
CEP	Community Engagement Plan
CHF	Cultural Heritage Framework
CHSP	Community Health and Safety Plan
CITES	Convention on International Trade in Endangered Species of Wild Flora and Fauna
CoC	Code of Conduct
DAC	Development Assistance Committee
DAFO	District Agriculture and Forestry Office
DoE	Department of Environment, MoNRE
DoEQP	Department of Environmental Quality Promotion, MoNRE
DoEA	Department of Ethnic Affairs, LNFC
DoF	Department of Forestry, MAF
DoFI	Department of Forestry Inspection, MAF
DoNREI	Department of Natural Resources and Environmental Inspection, MoNRE
DoNREP	Department of Natural Resources and Environment Policy, MoNRE
DoNRE	District Natural Resource and Environment Office
DoPC	Department of Pollution Control, MoNRE
DPT	District Project Teams
DRM	Desaster Risk Management
EC	Environmental Committee
ECC	Environmental Compliance Certificate
ECoP	Environmental Code of Practice
EGDF	Ethnic Group Development Framework
EHSG	Environmental, Health and Safety Guideline, WB
EPL	Environmental Protection Law
ESCP	Environmental and Social Compliance Plan
ESF	Environmental and Social Framework
ESFP	Environmental and Social Focal Points
ESIA	Environmental and Social Impact Assessment
ESIRT	Environmental and Social Incident Response Toolkit, WB
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Standards
FAO	Food and Agriculture Organization of the UN
FIPD	Forest Inventory and Planning Division, DoF
FLUZ	Forest Land Use Zoning
FPIC	Free Prior Informed Consent
GAP	Good Agriculture Practice
GBV	Gender Based Violence
GEF	Global Environmental Facility
GHG	Greenhouse Gas
GIS	Geographic Information System
GoL	Government of Lao PDR

GRM	Grievance Redress Mechanism
HCVA	High Conservation Value Assessment
HCVF	High Conservation Value Forest
IDA	International Development Association
IEE	Initial Environmental Examination
IFC	International Finance Corporation
ILO	International Labour Organization
IMSMA	Information Management System for Mine Action
IPF	Investment Project Financing
IPM	Integrated Pest Management
IPP	Indigenous Peoples Plan
IRRP	Incident Reporting and Response Procedure
Lao-WEN	Lao Wildlife Enforcement Network
LFND	Lao Front for National Development
LLL	Lao Landscapes and Livelihoods Project, WB
ILO	International Labor Organization
LMP	Labor Management Procedures
LWC	Labor Working Conditions
LWU	Lao Women Union
MAF	Ministry of Agriculture and Forestry
MCA	Multi Criteria Analysis
MDG	Millennium Development Goals
MEA	Multilateral Environmental Agreement
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
MSD	Multi Stakeholder Dialogue
NA	National Assembly
NAFRI	National Agriculture and Forestry Research Institute
NRA	National Regulatory Authority
NBT	Nature-based Tourism
NDC	Nationally Determined Contributions
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
NUoL	National University of Lao PDR
OECD	Organization for Economic Cooperation and Development
OHS	Occupational Health and Safety
PA	Protected Area
PAD	Project Appraisal Document
PAFO	Provincial Agriculture and Forestry Office
PAP	Project Affected People

PCU	Project Coordination Unit
PDO	Project Development Objective
PES	Payment for Environmental Services
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
S-ESMP	Standardized Environmental and Social Management Plan
SFM	Sustainable Forest Management
SORT	Systematic Operating Risk-rating Tool
SRA	Security Risk Assessment
SS-ESMP	Site-specific Environmental and Social Management Plan
STD	Sexually Transmitted Disease
SUPSFM	Scaling-up of Participatory Sustainable Forest Management Project, WB
SWOT	Strengths, Weaknesses, Opportunities and Threats Analysis
ToC	Table of Contents
TPZ	Totally Protected Zone of a PA
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNFCCC	United Nations Framework Convention on Climate Change
US\$	United States Dollar
UXO	Unexploded Ordnance
VAC	Violence Against Children
VDC	Village Development Committee
VDF	Village Development Fund
VFM	Village Forest Management
VLBG	Village Livelihood Block Grant
VL-ESMP	Village-level Environmental and Social Management Plan
WB	World Bank
WCS	Wildlife Conservation Society
WWF	Worldwide Fund for Nature
WHO	World Health Organization
WUG	Water User Group



## 1 Executive Summary

### 1.1 Project Summary

The **project development objective** (PDO) of the proposed **LLL project** is ‘to promote sustainable forest management, improve protected area management, and enhance livelihoods opportunities in selected landscapes in Lao PDR’. It will be 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 other relevant line agencies, organizations and partners. The available investment budget accounts for 57,37 million US\$, which includes a loan of 50 million US\$ provided by the International Development Association (IDA), a grant of 7,37 million US\$ provided by the Global Environment Fund (GEF).

The project will support initially five priority **forest landscapes** within the Greater Annamites, which have been selected mainly based on their outstanding economic drivers such as available wood and non- wood products, and nature-based tourism potential, as well as profound environmental benefits related to climate change, biodiversity, natural disasters and erosion. The following five landscapes will be supported by the LLL project: (1) Greater Nam Et - Phou Louey, (2) Greater Phou Khao Khouay, (3) Khammouane Biodiversity Complex, (4) Savannakhet Production and Conservation Landscape, and (5) Northern Annamite. They are nested within the following eight provinces: Houaphan, Louang Prabang, Xiengkhouang, Xaysomboun, Bolikhamxay, Vientiane Province, Khammouane, Savannakhet, and Vientiane Prefecture. In total, 547 villages will benefit from the project, including an estimated 72.000 households and 396.000 people. The population within the LLL supported landscapes is socio-culturally diverse and includes all 4 ethno-linguistic families distinguished in Lao PDR, including Lao-Tai, Mon-Khmer, Sino-Tibetan, and Hmong-Mien, as well as the majority of the 50 major ethnic groups they include.

Within the five landscapes, 8 Protected Areas (PA) will be supported, which harbour international and regional significant and endemic biodiversity, as well as have good tourism potential to drive green job creation and growth. Besides this, 11 Production Forest Areas (PFA) will be supported, which are important for long-term oriented sustainable wood and non-wood production and continued supply to the forest industry and processing. They offer significant potential for the restoration of natural forests and plantation developments. The LLL project will also provide support to seven Protection Forest Areas (PtFA) located within the five priority landscapes, which ensure important watershed functions, such as water availability and quality, as well as reducing erosion and flash floods related risks. Village Forests also exist within the five landscapes, either inside or outside the 3 state forest categories, which are important to support the livelihood of the inhabitants of the 547 participating villages.

Expected **outcomes** of the LLL project include (i) improved sustainable forest management and livelihoods opportunities in selected landscapes, (ii) reduced flood, drought, and landslide risks to villages and infrastructure, (iii) good forest cover, balanced with stabilized and sustainable land use, (iv) good nature-based tourism products in and outside protected areas that meet market demand while managing carrying capacity concerns, and (v) globally significant biodiversity is better protected and greenhouse gas emissions are reduced. Activities and investments supported by the LLL project are related to the following **4 components**:

- Investing in natural wealth and resilience in forest landscapes (component 1) intends to build natural capital from improved forest landscape management, which will help to secure multiple economic, environmental, climate, and resilience benefits. Climate and disaster risks will be reduced by maintaining and restoring forest cover, promoting soil and water conservation, and others. Collaborative management of PA and Village Forest Management (VFM) in PFA and PtFA will be the main governance modalities. Enabling activities will leverage parallel private sector investment such as tree plantations and tourism development.
- Livelihood opportunities from sustainable forest landscapes (component 2) is closely linked to component 1 and targets the same villages. It intends to improve forest-smart livelihood opportunities, vocational skills, and nature-based tourism (NBT) within the landscapes. The

project will provide Village Livelihood Block Grants (VLBGs) managed by the villages as revolving mechanisms, whereby 20% will be earmarked as grants to the most vulnerable village members. Besides this, the project will support vocational training, as well as the establishment of an NBT support facility.

- Institutions, incentives, and information (component 3) intends to strengthen institutions, policies, incentives, and information for sustainable forest landscapes. This component will support governance-related activities, as well as policy and regulatory development, inter-agency law enforcement coordination for illegal wildlife trade, environmental and social (ES) risk management, land and forest tenure, climate change monitoring, and natural capital valuation and impact assessments.
- Project management, monitoring, and learning (component 4) will support, maintain, and enhance project management, monitoring, and learning. It aims to ensure an efficient, transparent, and effective implementation of the project on the ground. Activities include project management, monitoring, learning and adaptive management, support to the GoL's resource mobilization, strategic communication, as well as regional coordination and dialogue.

## 1.2 Environmental and Social Risks and Impacts

The World Bank classified Environmental and social (ES) risk of LLL project as "Substantial" due to the following:

**Environmental Risks:** Five landscapes nested within the greater Annamites of the following eight provinces, namely, Houaphan, Louang Prabang, Xiengkhouang, Xaysomboun, Bolikhamxay, Vientiane Province, Khammouane, Savannakhet, and Vientiane Prefecture have been selected for project intervention. The eight targeted Protected Areas (PA) to be supported by the project together formed a conservation significant, especially the Annamites as well as areas with good tourism potential to drive green job creation and growth. The targeted PAs, of which three are recently upgraded to National Parks, total almost 1.6 million hectares and include: a) Nam Et-Phou Louey (NEPL) National Park, b) Phou Khao Khouay (PKK) National Protected Area, c) Tor Sib/ Phou Samsoum, d) Phou Hin Poun NPA, e) Nakai Nam Theun NP, f) Hin Nam No NP, g) Khoun Xe Nongma PPA, and h) Laving Laverne NPA. Approximately 200 "guardian villages" inside or bordering PAs will be supported. The proposed operation will gradually have countrywide affect by strengthening the government policy and capacity building of public sector for sustainable management of forest areas and nature-based tourism activities which will then involve multisector including public and private sectors, NGOs, and local communities. The project may expand its cover to other landscapes as experience is built and financing available, however, the exact locations and activities will only be determined during project implementation.

The project will not provide direct financing but will strengthen policy and capacity of related public sectors to enable private sector investment in industrial tree plantation and nature-based tourism activities. It will support and fund forest conservation activities and protection of wildlife in selected landscapes to promote sustainable forest management and livelihoods benefits. The project will finance some physical construction and renovation civil works to facilitate forest conservation, nature-based tourism and livelihood development activities, such as, office and substation for project staff and forest patrolling teams, access trails for nature-based tourism, small scale irrigation for paddy cultivation, and slope stabilization with trees etc.

Project activities are expected to provide positive results on local environment and communities. Some possible negative risk and impact on local environment include (i) potential expansion of smallholders and private sectors industrial forestry plantations that could lead to replacement of native species, the degradation of natural habitats, deforestation and soil erosion and degradation, (ii) inappropriate management of nature-based tourism could pose negative impact on local environment, (iii) forest conservation, such as, forest zoning and patrolling, building substations may disturb wildlife and affect surrounded environment, and (iv) support infrastructure development, including physical construction and renovation civil work may pose minor risk and impact on local environments such as pollution. However, these expected risks and impacts are

predictable, likely to be small, localized, temporary, and can be mitigated through proper design of sub-projects, as well as by developing and implementing ES management plans as required under each World Bank Environmental and Social Standards (ESSs).

In addition, the project may be encountered risks caused by external factors such as climate change, for example, floods and draughts, Unexploded Ordinance (UXO) and COVID-19 outbreak.

**Social Risks:** Major social risks and impacts include potential restriction of access to forest land, protected areas and forest products as a result of landscape management and conservation activities including land use zoning and reinforcement of conservation agreements to be supported under Component 1 and Component 2. Access restriction could impact on natural resources-based livelihoods and customary land use and tenure of vulnerable groups, particularly women and ethnic minority groups. These ethnic groups are often found in or adjacent to forest land areas in Lao PDR and their livelihood and income mainly rely on the forest land and natural resources. As a result of forest land use zoning (FLUZ) and mapping exercise, their farm land and animal grazing areas may be identified inside Total Protected Zones (TPZ) or forest zones within the landscape and thus may be asked to reduce or stop any activities in such prohibited areas. In addition, conservation regulations and agreements to be established may limit and prevent them from access to forest resources, timber and non-timber products.

Social risks may involve community health and safety issues that may be associated with increased visit to the project villages and landscape areas by external project stakeholders during the project lifetime. These include the teams of project staff (direct workers) and consultants, as well as skilled construction workers and service providers (indirect workers) who will be assigned and hired to work in the local communities and tourists expected to visit eco-tourism spots and stay overnight in the host communities and households. These risks may include, but should not be limited to water, waste and air born communicable diseases, Sexual Transmitted Diseases (STDs/HIV/AIDs), Sexual Exploitation and Abuse (SEA), Gender-Based Violence (GBV), Violence Against Children (VAC) and impacts or disturbance on physical and mental well-being.

Under the project Component 2: A range of conservation-oriented livelihood activities and small scale and vocational training will be funded through the proposed Village Livelihood Development Grant (VLDG) to support the target villages and households to improve their livelihood and incomes. VLDG is designed to support households affected by the above discussed project activities due to access restriction and provide them with alternative sources of sustainable livelihood in order to enable them to participate in landscape management and conservation activities. Some of these livelihood interventions may pose a challenge to the vulnerable households especially the ethnic groups and women with limited technical know-how to adjust or adopt conservation oriented livelihood practice and technology. This could in turn result in further impoverishment and increase vulnerability among the vulnerable groups of people.

The project will finance small civil works including construction and rehabilitation of village-based green infrastructure to support livelihood activities, natural disaster risks management and nature-based (or eco) tourism facilities and infrastructure (such as rehabilitation of community-based irrigation schemes, construction of structures to manage water resources and protect soil structure or erosion and, small tracks access to farm land and nature-based tourist spots and installation of tourist facilities). Land acquisition is expected to be insignificant and resettlement of village and households is not anticipated from the small scale civil work. Activities requiring household and village physical displacement will be ineligible for the project financing.

Although, DOF and other implementing agencies have long experience with the World Bank operations and safeguard compliance, their capacity need to be further strengthened, especially, for the compliance with new Environmental and Social Framework (ESF). The Task Team will work with client to identify the potential impact and put in place appropriate mitigation measures. Trainings and technical assistance will be provided to the client to ensure they have adequate capacity to implement relevant ESF instruments.

### 1.3 Stakeholder Engagement

Meaningful stakeholder's engagement in the project design and implementation and **consultation** are an essential requirement from WBs ESS10 and are critical for project success and sustainability. These requirements and process are provided in the Stakeholder Engagement Plan (SEP) and reflected in this ESMF and CEF prepared for the project. Stakeholder's engagement and consultation were conducted during project preparation and will continue throughout the entire project duration. The project engages and consults all relevant stakeholders, including communities, groups, or individuals affected by proposed projects and other interested parties, through information disclosure, consultation meeting, and informed participation in project activities. Project related ESF documents will be translated and disclosed by different means, such as at DoF's website, appropriate communication materials (posters, leaflet and video clips) as well as disseminated during various events at all levels.

As required by WB's ESS 10, meaningful **engagement** of all relevant stakeholders will need to be ensured, including all communities, groups, or individuals affected by the project and other interested parties. Stakeholder engagement is an inclusive process conducted throughout the project life cycle to establish constructive and responsive relationships and broad support for project preparation and implementation that are important for successful management of ES risks. A **Grievance Redress Mechanism** (GRM) will be established under the project based on the existing national system in the selected landscapes to address any project related complaints and feedback that may be raised by involved stakeholders. The project also intends to mainstream gender issues, as well as to promote gender equality, inclusiveness and mitigate potential risks and impacts on the vulnerable groups.

### 1.4 Environmental and Social Risk and Impact Management

#### ***Relevance to World Banks Environmental and Social Framework***

Environmental and social management measures to be applied in addressing and mitigating risks and impacts under the LLL project are in line with the World Bank's ESF, the current national regulatory and institutional frameworks, as well as relevant with international practice. More information is provided in Chapter 3.1 and 3.2 of the full version of ESMF. The ESMF **complies with World Banks (WB) most recent ESF** that includes 10 Environmental and Social Standards (ESSs), which are all applicable and relevant to the project, except ESS 9 ('financial intermediaries'). The following outlines the 10 ESSs of the WB's ESF and their applicability and relevance for the LLL project:

- **ESS 1 - Assessment and Management of Environmental and Social Risks and Impacts:** Relevant, as it is obligatory for all WB financed projects. All requirements of this standard have been manifested in the full ESMF. DOF will identify potential environmental and social risks and impacts, develop and implement risk management plans, and monitor throughout the project life cycle so as to meet the requirements of the relevant ESSs in a sound manner within a timeframe acceptable to the Bank.
- **ESS 2 - Labour and Working Conditions:** Relevant, as people will be employed or engaged directly and indirectly by the project including appointed staff of the project implementing agencies (direct workers), and contracted builders and service providers (contracted workers), and in the context of providing community labour 'community workers'. A labour management procedure (LMP) is developed and will be implemented to ensure risks of the workers and their working conditions, their health and safety are taking care of and addressed.
- **ESS 3 - Resource Efficiency and Pollution Prevention and Management:** Relevant, as the project may involve physical construction and renovation works where, energy, water and other materials maybe sourced for. Project construction activities may induce minor pollutant on air, water and land, and therefore need to be managed properly. Solid waste management measure will be planed and applied to ensure solid waste generated from project activity and personnel are properly managed. Village Livelihood Development Block Grant may finance irrigation system and other agriculture extension activities where pesticide and chemical

fertilizer may be applied by project villages to increase their productivity, a pest management plan will be developed and implemented to ensure all banned pesticide and fertilizer are excluded from project finance.

- ESS 4 - Community Health and Safety: Relevant, as villagers will be engaged in forest restoration and management, biodiversity conservation, livelihood activities and maybe in construction civil work which may pose risk and impact on community health and safety related issue. These risks could also be associated with frequent visit by external stakeholders (project personnel, contractors and service providers). Community Health and Safety Plan is developed and will be implemented to ensure health and safety issue of communities involve in project activity are well taking care of. Codes of Conduct (CoC) will be included in the letter of government staff and team appointment and contracts (for contracted workers) in line with relevant national laws and legislations to be applied under the project. CHS training will also provided for these project personel to raise wareness of the ESS4 requirements and measures listed above to prevent and address the CHS risks and impacts. Grievance Redress Mechanism (GRM) will be established in the project landscape areas to enable affcted perons including victims of SEA, GBV, VAC and Sexually Transmitted Diseases to report and raise their concerns about the potentials risks and incedents. Focal point staff will be also appointed and ESF consultants recruited in each of landscape offices and PCU to be responsible for implementing, monitoring and reporting on CHSP.
- ESS 5 - Land Acquisition, Restrictions on Land Use, and Involuntary Resettlement: Relevant, this ESS applies mainly to manage risks associated access restrictions, that may result from conservation and management of PA and PtFA, especially while establishing Total Protected Zones (TPZ), forest land use zones and conservation agreements. Land acquisition is expected to be very unlikely or very limited. Activities requiring household and village resettlement is ineligible for project financing. As the nature and scope of risks and impacts will not be known until the proposed list of participating villages, infrastructure sub-projects and livelihood priorities are determined through the participatory process during the project implementation, Community Engagement Framework (CEF) incorporating Process Framework (PF), Ethnic Group Development Framework (EGDF) and a Resettlement Policy Framework (RPF) is prepared to be applied under the LLL project to manage potential risks and impacts from the access restriction, impacts on ethnic groups and land acquisition.
- ESS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources: Relevant, though project activities are contributed to protection of forest and biodiversity, however, project supported activities maybe directly or indirectly influence on nearby natural habitats, and therefore, produce possible negative risks and impacts which need to be managed appropriately. For example, industrial plantations conducted by a small holders and private sectors may potentially facilitate to encloachment into the forest land area and lead to deforestation. The nature-based tourism could also creat an impact on local environment if not having proper management. Agricultural production supported activities such as, land clearance, irrigation development, and agriculture extension could also be managed in such a way it sound to local environment and biodiversity. The management of biodiversity and natural resources will be well intergrated in site-specific management plan dxeveloped under the ESS1 for speccific activity.
- ESS 7 - Indigenous Peoples/ Sub-Saharan African Historically Underserved Traditional Local Communities: Relevant, as the 547 participating villages in 5 selected landscapes include various ethnic minority groups ('Indigenous People) who may be impacted by the project activities . However, potential adverse risks and impacts on these ethnic groups are expected to be manageable through the project design and inclusive approaches provided in CEF to be deployed by the project. CEF incorporating an Ethnic Group Development Framework (EGDF) aims to manage risks and minimize adverse impacts on the ethnic groups and to ensure that they are meaningfully consulted and engaged in all main cycles of project activities and that they can benefit from the project investments in a culturally appropriate manner.

- **ESS 8 - Cultural Heritage:** Relevant, as some direct and indirect workers may deliberately or unintentionally become involved in physical cultural resources trafficking such as prohibited Buddha sculptures and religious items and encroach prohibited areas (such as cultural or religious and spiritual sites, graves) respected by the local community during their visit and if necessary stay in the target villages and landscape areas. A Cultural Heritage Framework has been developed and provided in the ESMF to be applied by all project staff and workers. The framework includes a list of Do's and Don'ts and the Chance Finds Procedure. The list of Do's and Don'ts will be included in the letter of appointment for staff and contracts for consultants.
- **ESS 9 - Financial Intermediaries:** Not relevant.
- **ESS 10 - Stakeholder Engagement and Information Disclosure:** Relevant, as the project is expected to involve a range of direct and indirect stakeholders at national and sub-national levels including local communities, DOF, MAF and concerned government agencies, academies, development partners, NGOs and private sector. Information disclosure is required under this standard to ensure that all relevant information such as on risks and impacts are accessible timely and appropriately to affected communities and stakeholders.

The project will apply a structured approach to managing ES risks and impacts that follows the **mitigation hierarchy** of avoidance, minimizing and mitigating of potentially risks and adverse impacts caused by project interventions, as well as enhancing positive impacts where possible.

The following ESF instruments are developed and will be implemented throughout project period.

#### ***Environmental and Social Commitment Plan***

Environmental and Social Commitment Plan (ESCP) was developed as part of legal agreement to formalize the DOF's commitments in preparing and implementing the material measures and actions to manage environmental and social risk and impact in accordance with the ESSs. The ESCP highlights ESF instruments (SEP, CEF, ESMF and sub-sequent risks management plans) required and to be prepared during project implementation as well as the timing for each instrument. The ESCP is an action plan, which defines 'higher level' actions and commitments between the Government of Lao PDR (GoL) and the World Bank (WB). As agreed by both parties, this ESCP may be revised from time to time after each consultation with stakeholders during project implementation, to reflect their feedback, adaptive management of Project changes and unforeseen circumstances or in response to assessment of project performance conducted under the ESCP itself.

ESCP specifies the material measures and actions to manage risks and impacts identified under the project, timeframes and responsibilities for preparing, implementing, monitoring and reporting on the implementation status of the ESF instruments and compliance with the relevant ESSs.

#### ***Stakeholder Engagement Plan***

SEP is prepared to define a program for stakeholder engagement, including public information disclosure and consultation, throughout the entire project cycle. The SEP outlines the ways in which the project team will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or lodge complaints about project. The involvement of the stakeholders particularly local population is key to the success of the project in order to ensure smooth collaboration between project staff and local communities and to minimize and mitigate ES risks related to the proposed project activities. Further detail is provided in the SEP as a stand alone document connected with the ESMF.

#### ***Environmental and Social Management Framework***

The Environmental and Social Management Framework (ESMF), which is an umbrella instrument provides principles and guidelines to identify and develop appropriate mitigation measures addressing environmental and social risk and impact generated from project financed activities as required by WB's ESSs.

The ESMF was developed in a consultative way, by the ESF team of the Department of Forestry (DoF) as well as in close coordination with WBs ESF team. The formulation process included different steps such as drafting, internal and external review, as well as different stakeholder consultations at national and sub-national level as required by ESS10. In accordance to the ESCP, it has been reviewed and updated after consultation with stakeholders and during the initial implementation of the project, and based on experiences gained during initial application of the ESMF. It would need to be updated further, in case the project design and implementation arrangement is changed or restructured.

This ESMF provides guidelines, process and tools for preparation and implementation of the following **instruments**:

- **Standardized Environmental and Social Management Plan (S-ESMP)**: The objective of a S-ESMP is to identify potential adverse and non-site-specific environment and social (ES) risks and impacts that can be pre-identified or anticipated from initial activities funded by the LLL project within the 5 landscapes, and to identify appropriate and tools and measures to manage and mitigate them. Initial activities addressed by S-ESMP's include for example visits by project staff, volunteers and consultants to carried out project activities such as meetings, community consultations and Free Prior Informed Consent (FPIC), forest and land use zoning, participatory action planning, training, as well as monitoring and supervision. It also addresses field activities such as biodiversity surveys and forest inventories, boundary demarcation, patrolling and law enforcement, fire control/ management, research, outreach, extension, vocational education and community engagement. Pre-identified ES risks and impacts that are avoided and mitigated by S-ESMPs include for example environmental pollution due to littering, illegal consumption and trade of wildlife, spreading of communicable diseases, accidents, Gender Based Violence (GBV) and Sexual Exploitation and Abuse (SEA). Details on S-ESMP are provided in Annex 4 of this ESMF.
- **Site Specific Environmental and Social Management Plan (SS-ESMP)**: The project will provide direct financing to support forest conservation activities and protection of wildlife in selected forest areas which will include financing some physical construction and renovation civil works to facilitate forest conservation, such as, offices and sub-stations for project staff and ranger patrolling teams, access trails for nature-based tourism and conservation activities; livelihood development activities include small scale irrigation for paddy cultivation, crop cultivation and livestock raising, and slope stabilization with trees etc. For these sub-projects, an environmental and social screening will be carried out for an eligibility, then site-specific environmental and social risks and impacts will be assessed, and SS-ESMMPs will be developed and approved before sub-projects can be implemented<sup>1</sup>. Details on how to develop SS-ESMP are provided in the Annex 5 of this ESMF.
- **Village-level Environmental and Social Management Plan (VL-ESMP)**: The objective of a VL-ESMP is to identify potential adverse and non-site-specific environment and social (ES) risks and impacts induced from initial activities conducted by project staff, volunteers, consultants and villagers within a participating village to prepare for the implementation of project activities. Such initial activities include for example village and field visits for community engagement, forest land use zoning, community action planning and initial livelihood support, but also for forestry related activities such as surveys, boundary demarcation and patrolling. Only one VL-ESMP was developed for the Phadai village located within the Northern Annamite landscape. It was superseded by the S-ESMP for this landscape, after the latter has been approved by WB and was disclosed to simplify and accelerate the preparation and review of individual VL-ESMPs for the remaining over 500 villages. After this, the application of this instrument was

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<sup>1</sup> SS-ESMP applies to the majority of the sub-projects, including protected area infrastructure (e.g. construction of headquarters and ranger stations) and green village infrastructure (e.g. upgrading of irrigation schemes, water protection measures), however for access road sub-projects IEE is required according to MoNRE Decision No. 0358 (2023) and will be applied.

discontinued, as for the all 5 landscapes S-ESMPs were developed, approved and disclosed, which has made the VL-ESMP redundant<sup>2</sup>.

- Strategic Environmental and Social Assessment (SESA): The project will strengthen government policy and institutional framework including technical capacity to manage ongoing and future private investments in industrial tree plantation and nature-based tourism. The project will not provide direct financing to any private sector investments, however, the policy support may enable and regulate their future investments. The SESA will be carried out during the first years of project implementation to help government in identifying environmental and social risk and impact maybe resulted from the policy support and identifying appropriate mitigation measures specifically on the industrial tree plantation and nature-based tourism. The project will support government capacity development and technical assistance related to SESA to ensure that the environmental and social risk and impact are taken into account and managed and promote sustainable (environmentally sound and socially acceptable) private sector investment in industrial tree plantations and nature-based tourism, especially within the priority landscapes and beyond. Beside this, Strategic Environmental and Social Assessments (SESA) will be carried out for both, industrial trees plantation and nature-based tourism activities. Both SESAs are characterized by common features, as they inform decision makers on ES risks and impacts, are related to the preparation of an approvable document, as well as follow similar procedural steps. Details such as principle, guideline and TORs for SESA development is provided in Annex 1 are in line with national frameworks and international good practice.
- Environmental Code of Practice (ECOP): The Environmental Code of Practice (ECOP) is an environmental management instrument applied under (ESS1) for small physical renovation civil works, such as renovation of buildings and other facilities to support project activity implementation. It is a mandatory part of bidding documents for renovation civil work's contract so that the contractor complies with environmental covenants. Its objective is to mitigate environmental impacts from the physical renovation civil work, such as dust, noise, construction waste, interruption of other facilities utility services, worker and public safety. The ECOP is provided as part of ESMF and it is available in the Annex 8 of this ESMF.
- Pest Management Plan (PMP): Simple Pest Management Plans (PMP) are required to be prepared under ESS3 and will be applied to relevant sub-projects. The project will support livelihood improvement, in case that significant risks of the use of pesticide and fertilizer in agriculture production activity. In the context of the LLL project, if needed, the purchase of pesticide and chemical fertilizer should not exceed the amount required to treat efficiently the infected area and banned agro-chemicals by the GoL and by WHO cannot be purchased. Beside this, the project will promote alternatives to the use of agro-chemicals, such as Integrated Pest Management (IPM) and Good Agricultural Practice (GAP). More details are provided in the Annex 9 of this ESMF.
- List of Do's and Don't's on wildlife trade and consumption: A list of Do's and Don't's on wildlife trade and consumption is applied to all project related personnel as required under WB's ESS6 to avoid and minimize potential adverse impacts and risks on biodiversity within the priority landscapes. The trade of wildlife and parts, as well as their consumption is prohibited in Lao PDR except the consumption of manageable species for subsistence and household use. 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. More details of the list are provided in Annex 10 of this ESMF.
- Standard Waste Management Procedure (SWMP): A Standard Waste Management Procedure (SWMP) is developed as part of ESMF as required under ESS3. The project will deploy staff, consultants to support project activity implementation, SWMP will be applied to

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<sup>2</sup> Therefore, this instrument will not be explained in more detail.



all staff and consultant working in project activities, especially, those working in a long period for forest patrolling inside forest area. Even it is expected to be of minor, a regulation, rule and list of Do's and Don't's are provided as part of ESMF for project staff, consultants and other project personnel to refrain from producing solid waste, littering, as well as handle and dispose solid waste properly. Solid waste may also occur in the context of construction and village based sub-projects. In these cases, pollution/ solid waste concerns will be assessed and addressed as part of SS-ESMP. More details are provided in the section 5.9 and Annex 11. A solid waste management under the construction work will be assessed and managed as part of ESS1 (SS-ESMP).

- **Unexploded Ordinance (UXO)**: Unexploded Ordinance (UXO) continues to be an issue in some provinces in Lao PDR, forest and agricultural lands can be risk of UXO contamination covers majority of provinces participating in the LLL project, especially Houaphan, Xiengkouang, Khammouan and Savannakhet (a UXO map is provided in Annex 22b). Project activity or subproject will not be authorized to implement in an UXO risk area. For sub-projects (e.g. protected area related construction and green village infrastructure) UXO surveys need to be conducted by an UXO organization in case of UXO risk, and results certified by the National Regulatory Authority (NRA). In case UXO exists in the sub-project areas, the clearance has to be done by licensed agencies (e.g. UXO Lao, MAG International) and completed before activity can be implemented. UXO related issue and procedures are provided as part of this ESMF in section 5.10 and Annex 12.
- **Labor Management Procedure (LMP)**: Labor Management Procedure (LMP) is developed as required under WBs ESS2 and apply to project personnel and community workers involve in project activity implementation. In addition, the provisions against forced labour and occupational health and safety also apply to government civil servants working for the LLL project. Other requirements such as related to incidents and accidents, traffic and road safety measures, as well as emergency response procedures that include the use of non-project vehicles. Standard measures on occupational health and safety and removal of asbestos are also included. The LMP also include Letter of Appointments, and Code of Conducts (CoC) for contractors, workers and tourists. More details are provided section 5.11 and Annex 13 of this ESMF.
- **Incident Reporting** : In accordance to the ESCP, the project needs to promptly notify WB (within 48 hours) of any incident or accident which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers. They can for example include car/ traffic accidents, accidents during construction of buildings and field operations, as well as criminal acts against project staff and beneficiaries, as well as violence against children and women. An ES Incident Response Toolkit (ESIRT) of the WB updated in March 2023 will be applied to analyze root causes of the incident and identify corrective actions to prevent similar incidents from reoccurrence in the future. ESIRT describes the response and management process, different steps included, reporting formats and responsibilities. More details are provided in section 5.12 and Annex 14.
- **Community Health and Safety Plan (CHSP)**: Community Health and Safety Plans (CHSP) need to be prepared under the project as required under WBs ESS4. CHSP specifies measures and action to prevent, manage and mitigate specific risks and impacts on the health and safety of local communities anticipated from labor influx and activities financed by the LLL project. Such risks may be associated with visit by and overnight stay by project staff, consultants including young graduates, contractors and their workers (contracted workers) and community workers and tourists, response to emergency situations and others based on the assessment of related risks/ impacts of site-specific sub-project and interventions. These include health related issues (such as potential infectious diseases, soil, air, water and waste-related infectious diseases including infectious and Sexually Transmitted Diseases (STD) and COVID 19 effect on privacy and mental well-being among local villagers) and community safety risks of Sexual Exploitation and Abuse (SEA), Gender-Based Violence (GBV) and Violence Against Children (VAC) due to misbehavior and poor management of project workers. Codes

of Conduct (CoC) provided in ESMF will be included in the letter of project staff and team appointment and contracts (for contracted workers) in line with relevant national legislations to be applied under the project. CHS training will also be provided for these project personnel and workers to raise their awareness about the ESS4 requirements and measures listed above to prevent and address the CHS risks. GRM will be in place and focal staff from the landscape offices and PMU will be appointed to enable affected people and victims to report on their concern and issues on SEA, GBV and VAC. These focal staff and those agencies involved including Lao Women Union and Lao Youth with local presence and local authority will receive specialized training to be able to handle these types of sensitive grievances. The project will direct the SEA, GBV and VAC related grievances to these appropriate agencies or share resources available in the community. It is also an option to engage an experienced female national counselor and NGOs involved in youth, women and child protection and promotion to facilitate safe disclosure and referral of issues that may be received through the established GRM and/ or via a counselling hotline. More details are provided in section 5.13 and Annex 15 of this ESMF.

- **Cultural Heritage Framework (CHF):** The WB' ESS8 requires that potential adverse risks and impacts on cultural heritage (both tangible and intangible) from project activities are avoided and managed through procedures and measures specified in the Cultural Heritage Framework (CHF). Project personnel and workers may deliberately and unintentionally involve in physical cultural heritage and artifacts (physical cultural resources, natural features and landscapes that have archaeological, historical, architectural, religious and other cultural significance). In some cases, they may also fail to recognize and pay respect to intangible cultural norms and practice. Relevant national legislation related to cultural heritage should be visited and applied. CHF includes the "chance find" procedures as a project specific measures in case cultural heritage and artifacts are encountered in the context of project activities and information on cultural heritage including list of Dos and Dents' to be observed by the project staff and workers as well as external visitors to avoid and prevent culturally insensitive and irresponsible misbehaviors during their visit to the local communities and project areas. More details are provided in section 5.14 and Annex 17 of this ESMF.
- **COVID-19 response:** The project is prepared and will be implemented during the COVID-19 outbreak, measures for COVID-19 response are provided as part of ESMF to ensure that project personnel and local communities as well as other concerned stakeholders are safe from infecting of COVID-19 disease. More details on COVID-19 prevention are provided in the section 5.15 and Annex 18 of this ESMF.

### ***Community Engagement Framework (CEF)***

The CEF provides key provisions of requirements and procedures to manage potential risks and impacts on the local communities in the landscapes identified under ESS5: Land Acquisition, Restrictions on Land Use, and Involuntary Resettlement and ESS7: Indigenous People in a single framework. It does this by integrating three important ESF features:

- (1) An Ethnic Group Development Framework is provided to avoid and mitigate potential risks and adverse impacts associated from project activities on ethnic groups and ensure that they benefit from the project in a culturally sensitive manner;
- (2) A Process Framework to manage project-related changes in access to or the use of forests and related resources; and
- (3) A Resettlement Policy Framework to manage any (unlikely) instances of involuntary land acquisition that may be required for small infrastructure and livelihood activities to be financed under the project.

Further detail is provided in CEF, which is separately prepared but closely linked with this ESMF and SEP.

### ***Security Risk Assessment (SRA)***

A Security Risk Assessment (SRA) was conducted during project preparation to identify potential security risks and impacts that may be associated with the involvement of the Army of Lao PDR in project implementation, or being a stakeholder of the project, especially in the Phou Khoa Khouay National Protected Area (NKK-NPA) as per ESS4 requirements. SRA also provides a risk management framework to ensure that “the safeguarding of personnel and property including land and natural resources is carried out in a manner that avoids or minimizes risks and adverse impacts on the project-affected communities” and reputational risk to the Bank, GoL and the project itself (ESS4). The assessment involved desk review of relevant legal and institutional framework, NPA study report, visit to 8 local villages in 3 districts covered by or adjacent to PKK-NPA and focus group discussions with representatives of communities, DAFOs and the army.

Initial findings of SRA reveal that community health and safety risks of the army involvement in forest management and conservation in the PKK-NPA are low. No cases associated with military officers including violence, GBV and VAC have ever been reported in the area visited. Nevertheless, a further systematic assessment of potential for GBV will be carried out prior to appraisal and outcomes will be reflected in the ESMF. On the other hand, a participatory ranking exercise conducted at community level on the environmental risks and impacts of the army involvement in PKK-NPA revealed very high impacts on forest, biodiversity and wildlife in the NKK-NPA largely due to the lack of resources (budget and insufficiency of military personnel), the lack of regular patrolling of forestry and biodiversity rich hotspots and low capacity to enforce the law.

The results of the SRA and proposed locally-based mitigations, including efforts to promote multi-stakeholder cooperation around security and governance, and grievance reporting and investigation will be included in a local-level security Memorandum of Understanding (MOU) to be prepared during the project implementation using a template provided in Annex 24. Additional measures to protect staff and employees in areas of high-banditry risk should also be discussed and formalized in the same MOU(s) of which a template is proposed to be provided in an Annex to ESMF as well as in the SRA report. Because of the management authority for the PKK NP has been officially handed over from the Ministry of Defence (MoD) to MAF at the beginning of the LLL implementation, the SRA and measures to mitigate the risks associated with army involvement are no longer relevant to the landscape.

### **Conflict Risk Assessment (CRA)**

A conflict risk assessment commensurate with the level of risk will be undertaken by a suitable NGO or other civil society organization as required. The CRA will identify potential risks of land, social and ethnic related conflict that may be therefore increased due to restrictions of access to forest land, protected areas and forest products as a result of landscape management, conservation activities that will result in negative impacts on ‘natural-resource based livelihoods and customary land use and tenure of the local community and ethnic minority groups. Other risks that may contribute to increased conflict risks to be covered through the CRA include those emanating from ‘elite capture’ in land use planning, project benefit sharing and distribution of Village Livelihood Block Grant (VLBG) and the grant for the Most Vulnerable Households (MVH) and project personnel related incidents of Sexual Exploitation and Abuse (SEA); Gender-Based Violence (GBV); infectious and Sexually Transmitted Diseases (STD); and COVID-19 transmission.

The CRA will review the implementation guidelines for land use planning, VLBG and the grant for the MVHs, to be developed before the LLL project effectiveness and the existing community health and safety plan (CHSP) including COVID-19 preventative measures and GRM provided in the ESMF. This is to assess the adequacy and effectiveness of the process and procedures provided in the guidelines and CHSP and identify area to be improved and or measures to manage potential risks of increased conflicts over forest land and resources, distribution of VLBG and grant for MVHS.

A Terms of Reference (TOR) for Conflict Risk Assessment is provided in Annex 23.

## 1.5 Project Organization and Implementation

On behalf of the GoL, the DoF at the MAF has the overall **responsibility** to fulfil the commitments and requirements as agreed in the ESCP, and as specified in other ESF documents such as the ESFM, SEP and CEF. A close cooperation with relevant line Ministries, especially MoNRE and partners, as well as the involvement of all relevant stakeholders will be ensured. Relevant Departments in MoNRE will have a lead function related to the application of SESA and main beneficiary for related capacity building. Project Coordination Units (PCU) at all levels and embedded environment and social focal points (ESFP) are of central importance to ensure proper ESF compliance, in close cooperation with relevant parties. Their functions, responsibilities and tasks related to ESF are clearly defined and might be reviewed and amended further during project implementation, if necessary. The PCUs have been established and ESFP have been appointed prior to project effectiveness and maintained during its entire duration.

Adequate **capacities** are an essential precondition to successfully and timely implement the LLL project, including to fulfill all commitments related to ESF compliance as specified in ESCP, ESMF, SEP and CEF. An initial capacity assessment confirmed that DOF/MAF assigned ES focal points have limited knowledge on E&S risk and impact management, therefore, various trainings have been conducted to ensure that DOF/MAF and related staff have enough capacity to prepare and implement ESF instruments. Additional assessment will be necessary with focus on appointed ES focal points to understand gained knowledge, skills and experiences, to identify still existing gaps to ESF compliance requirements, and finally to enhance the planning, and implementation of adequate training, including the development of complementary training materials. The training needs analysis, as well as subsequent refinement of training program design, the preparation of complementary training materials and additional training will be supported by international and national ESF consultants. Subsequent technical support and supervision will continue to be provided by the ESF consultants, as well as by ES subject matter specialists as required.

**Monitoring** is part of adaptive project management, and also required in the context of ES management and compliance. ESF related monitoring will detect deviations from commitments and agreed actions, and therefore is a basic precondition to correct them. Monitoring takes place at strategic/ landscape level, as well as in the context of sub-project/ activity implementation. At strategic and landscape level different ES parameter will be monitored to determine impacts due to project activities and investments, as well as risks. At sub-project level, the compliance of agreed mitigation measures, as well as the appearance of unexpected risks/ impacts will be monitored by ES focal points.

ESF related **reporting** is integrated into overall project related reporting by DoF to MAF and WB, and includes progress in fulfilling agreed action as of the ESCP and compliance with ESFM, SEP and CEF, especially how mitigation measures were implemented and ESF requirements fulfilled in the context of sub-projects, activities and infrastructure developments. Beside formal reporting based on agreed formats and timing (e.g. bi-annual ES monitoring report), also verbal reporting by ESFPs to PCU management is taking place regularly. The following outlines formal **reporting requirements** for the ESMF:

- **National PCU at DoF:** Prepare overall project progress reports, incorporate summary on ESF compliance/ issues, submit bi-annual reports to DoF (DoF will submit them to MAF and WB);
- **National ESFPs:** Prepare summary on ESF performance/ issues, submit quarterly to NPCU management, prepare detailed bi-annual ES monitoring reports and submit to NPCU and WB;
- **Provincial PCU at PAFO:** Prepare provincial progress reports, incorporate summary on ESF compliance/ issues, submit quarterly to national ESFP/ NPCU;
- **Provincial ESFPs:** Prepare summary on ESF performance/ issues for the province, submit quarterly to PPCU management, contribute to bi-annual ES monitoring reports;
- **District PCU at DAFO:** Prepare district progress reports, incorporate summary on ESF compliance/ issues, submit quarterly to provincial ESFP/ PPCU

- *District ESFPs*: Prepare summary on ESF performance/ issues for the district, submit quarterly to DPCU management;
- Constructors: Prepare monitoring reports, submit them monthly to NPCU or PPCU (depending on contractual arrangements).

The implementation of the ESMF and related activities, including assessments and review, documentation, monitoring and reporting creates an increasing amount of data during the project lifetime. This includes data in different formats, such as documents, spatial data, maps and other that all need to be properly managed (safed, stored, secured, retrieved if required). **Data and information management** is based on a filing system to categorize data and information, as well as filing of documents/ data in digital formats and as hardcopies. Digital data are stored and managed so far using the google drive that has been established at the start of project ([https://drive.google.com/drive/folders/1qbvHPyS6tL3Ge\\_tXLQszsJ5O4U3Tk0pM?usp=sharing](https://drive.google.com/drive/folders/1qbvHPyS6tL3Ge_tXLQszsJ5O4U3Tk0pM?usp=sharing)). In addition, a cloud based LLL database is currently designed, which also provides access to and storage of spatial data and remote sensing sources at the Forest Inventory and Planning Division (FIPD).

A detailed and dedicated **budget** has been developed and was updated annually based on experiences gained with implementing ESF. It is aligned to the main activities and commitments as of the ESCP, the ESMF, and to implement the SEP and the CEF. The indicative budget required to implement ESMF is estimated at 1.622.500 US\$ for the entire project duration. The total budget to implement ESMF including SEP and CEF, as well as the implementation of ESF under responsibility of the Department of Environment (DoE) is estimated at 2.629.250 US\$. These budgets have been integrated into the overall project budget and disbursed as part of the overall financial management under responsibility of the PCUs.

## 1.6 Disclosure and Consultation

As per the ESS10 requirement, the draft ESMF and other ESF documents need to be disclosed appropriately and all relevant stakeholders consulted. This is to inform them of the LLL project and potential ES risk and impacts on the local people and their environment and seek their feedback on the proposed risk management measures and instruments. The draft and cleared ESMF and other ESF documents have been disclosed at the website of the Department of Forestry (<http://dof.maf.gov.la/en/home/>) since 01. October 2020. This updated ESMF was disclosed at DoF website on 02 May 2024. Beside disclosing these drafts and cleared documents on DoF's website, they also were disseminated via other means, such as by WhatsApp and by e-mail. The ESF team informed and contacted 84 representatives of relevant Government agencies, organizations, projects, Non-governmental Organizations (NGO) and private sector from central level and the 8 participating provinces, and were requested to provide feedback and comments, whereby 24% of the contacted persons have responded.

In addition to this, a local consultation event has been conducted recently in Vientiane province to present the LLL project, anticipated ES risks and impacts, as well as relevant details of the ESMF and the other ESF documents. It was attended by 52 representatives from local government agencies, organizations and participating villages. Many of the commenters agreed in general with the presented ESF documents, and mentioned that the LLL project offers a good opportunity to address many challenges related to conservation and sustainable forest management. Questions of understanding related to details of the LLL project, such as livelihood support to villages, project site location and also related to ESF details, such as on CEF and GRM. Key topics during discussion and in responses included land issues and conflicts in the context of tree plantation investment by private sector and the role of LLL, livelihood support including the grant scheme for vulnerable members, customary land rights and believes of ethnologically diverse population in participating villages, the collaboration with existing projects and how to harmonize approaches. A detailed consultation report has been compiled and attached to the SEP.

## 2 Background

### 2.1 Introduction

The Environmental and Social Management Framework (ESMF) is one out of four documents constituting the Environmental and Social Framework (ESF) and ESSs' requirements to be developed, cleared and disclosed prior to the appraisal of the project. The ESMF is governed by the Environmental Social Commitment Plan (ESCP) and connected with the Stakeholder Engagement Plan (SEP) and the Community Engagement Framework (CEF), which complement each other. The ESMF, the SEP, and the CEF guide the implementation of material measures and action outlined in the ESCP, by providing all required procedural and technical details.

The ESCP is an action plan, which defines 'higher level' actions and commitments by the Borrower, Government of Lao PDR (GoL), to the Financier, the World Bank (WB), to be fulfilled during the entire project duration. These four documents complement each other and ensure that all requirements of the most recent WB safeguard policy and its Environmental and Social Safeguards (ESS) are met, in accordance with international commitments and the regulatory framework of the Lao PDR.

The ESMF was developed in a consultative way, by the ESF team of the Department of Forestry (DoF), as well as in close coordination with WBs ESF team. The formulation process included different steps such as drafting, internal and external review, as well as different stakeholder consultations at the national and sub-national levels as required by ESS 10. It sets forth the principles, rules, guidelines, and procedures to be applied during the entire duration of the LLL project to ensure that potential adverse environmental and social risks and impacts of site-specific and landscape-level investments are identified, assessed, avoided, or properly mitigated. It also includes instruments to guide strategic decision-making and investments by the private sector, such as related to industrial plantations and tourism within the priority landscapes of the LLL project. Therefore, it provides important guidance to the Project, especially appointed ESF teams and project management in ensuring that all commitments of the agreed ESCP and requirements of WBs ESF are met during the entire project duration.

The ESMF includes comprehensive descriptions of the institutional and regulatory framework (Chapter 3), potential negative impacts, risks and mitigation measures (Chapter 4), as well as various ESF instruments (Chapters 5), ESF implementation, monitoring, and reporting (Chapter 6), stakeholder engagement, grievance redress and gender (Chapter 7), as well a capacity building, technical support, and budget (Chapter 8). Besides this, it includes more details, template tools, formats, protocols, and others in various Annex, including:

- Strategic Environmental and Social Assessment (Annex 1)
- Eligibility Screening 'Negative Checklist' (Annex 2)
- Environmental and Social Risk and Impact Scoping Form (Annex 3)
- Standardized Environmental and Social Management Plan (Annex 4)
- Site-specific Environmental and Social Management Plan (Annex 5)
- Selected Good Practices to Mitigate ES Risks and Impacts (Annex 6)
- Inspection and Reporting Forms (Annex 7)
- Environmental Code of Practice (Annex 8)
- Pest Management Plan (Annex 9)
- List of Do's and Don't's Wildlife Trade and Consumption (Annex 10)
- Standard Waste Management Procedure (Annex 11)

- UXO Survey and Disposal Subplan (Annex 12)
- Labor Management Procedures (Annex 13)
- Incidents Reporting and Response Procedure (Annex 14)
- Community Health and Safety Plan (Annex 15)
- Letter of Appointment and Code of Conducts (Annex 16)
- Cultural Heritage Framework (Annex 17)
- COVID-19 Response (Annex 18)
- Gender-Based Violence and Violence Against Children (Annex 19)
- Glossary (Annex 20)
- Detailed Budget (Annex 21)
- Maps -LLLs Priority Landscapes and UXO (Annex 22)

In accordance to the ESCP, the ESMF has been reviewed and updated after consultations with stakeholders and after initial implementation of the LLL project, and based on experiences gained during initial application of the ESMF. An additional update would be required in case the project design and implementation arrangement has changed or was restructured. The updated ESMF and related changes require review and approval from the GoL and WB.

## 2.2 Project Overview

The **project development objective** (PDO) of the proposed Lao Landscapes and Livelihood Project (LLL) is 'to promote sustainable forest management, improve protected area management, and enhance livelihood opportunities in selected landscapes in Lao PDR'. **PDO indicators include:**

- **PDO1.** Landscape area with maintained or increased forest cover (ha).
- **PDO2.** Protected areas that score over 60 on the global PA Management Effectiveness Tracking Tool (METT) (number).
- **PDO3.** Households engaged in alternative and/or improved traditional livelihood activities supported by the project.
- **PDO4.** Share of target beneficiaries with a score 'Satisfied' or above on project interventions (percentage).

The LLL Project will be implemented during a period of 6,5 years, from March 2021 until September 2027, by the Ministry of Agriculture and Forestry (MAF), especially its Department of Forestry (DoF) in close cooperation with other relevant line agencies (MoNRE, MoIT) and organizations. The available investment budget accounts for 57,37 million US\$ (GEF: 7,37 million US\$ grant, IDA: 50 million US\$ loan). Expected **outcomes** include (i) improved sustainable forest management and livelihoods opportunities in selected landscapes, (ii) reduced flood, drought, and landslide risks to villages and infrastructure, (iii) good forest cover, balanced with stabilized and sustainable land use, (iv) good nature-based tourism products in and outside protected areas that meet market demand while managing potential over-use, and (v) globally significant biodiversity is better protected and greenhouse gas emissions are reduced.

The Project will support and invest in 5 **priority forest landscapes** within the Greater Annamites (see figure 1, Annex 22a), including eight provinces, as well as districts and 547 participating villages (benefit an estimated 72,000 households and 396,000 people). The population within the LLL supported landscapes is socio-culturally diverse and includes all four ethno-linguistic families distinguished in Lao PDR, including Lao-Tai, Mon-Khmer, Sino-Tibetan, and Hmong-Mien, as well as the majority of the 50 major ethnic groups.

Each landscape is defined operationally and spatially by the administrative boundaries of a group of forest areas (and their overlapping districts) that share an economic and environmental interest in the forest estate. The five priority landscapes are located within eight provinces, and one prefecture, which include Houaphan, Louang Prabang, Xiengkhouang, Xaysonboun, Bolikhamxay, Vientiane Province, Khammouane, Savannakhet, and Vientiane Prefecture.

**Table 1: Priority Landscapes, Provinces and Districts**

No.	Landscape	Province/District
1	<b>Greater Nam Et - Phou Louey</b>	<b>Provinces:</b> Huaphan Province, Luangprabang Province, Xiengkhuang Province <b>14 Districts:</b> Et, Hiem, Houa Meung, Viengthong, Xam Neua, Xone, Pakxeng, Phonthong, Phonxai, Viengkham, Phoukhout, Xieng Khor, Viengxay, Ngoy
2	<b>Greater Phou Khao Khouay</b>	<b>Provinces:</b> Bolikhamxay Province, Vientiane Province, Vientiane Prefecture, Xaysomboun Province <b>14 Districts:</b> Keo Udom, Thoulakom, Xaythany, Pak Ngeum, Thapabath, Long Xan, Hom, Med, Kasi, Vang Vieng, Hin Herb, Feuang, Sanakham, Meun
3	<b>Northern Annamite</b>	<b>Provinces:</b> Xiengkhuang, Xaysomboun, Bolikhamxay <b>9 Districts:</b> Mok, Khoun, Thathom, Bolikhan, Vienthong, Xaychamphon, Khamkeut, Pakkading, Pakxan
4	<b>Khammouane biodiversity complex</b>	<b>Provinces:</b> Khammouane Province <b>9 Districts:</b> Nakai, Gnommalath, Boualapha, Hinboun, Khounkham, Mahaxay, Thakek, Xaibouathong, Xebangfai
5	<b>Savannakhet conservation &amp; production landscape</b>	<b>Provinces:</b> Savannakhet Province <b>7 Districts:</b> Sepon, Vilabouly, Thabangthong, Songkhon, Phin, Phalangxai, Xonabouly

Within these five landscapes, the following types of investment sites will receive financial support: (a) protected area units and their Guardian Villages, (b) villages and their forests in production or protection forests, (c) nature-based tourism sites considered part of the broader targeted landscape, and (d) local or village green infrastructure.

The Project includes **4 components**, as following:

- **Investing in natural wealth and resilience in forest landscapes (component 1):** Its objective is to build natural capital from improved forest landscape management. Building natural capital helps secure multiple economic, environmental, climate, and resilience benefits. Climate and disaster risks such as flood, drought, erosion, and landslide risks would also be reduced by maintaining and restoring forest cover, combined with promoting soil and water conservation structures and other natural solutions in targeted sites. Such village-based green infrastructure would also contribute to job creation.

Collaborative management of Protected Areas (PA) and Village Forest Management (VFM) in Production Forest Areas (PFA) and Protection Forest Areas (PtFA) would be the main governance modalities to implement Sustainable Forest Management (SFM). Enabling activities would leverage parallel private sector investment such as industrial and smallholder tree plantations and tourism development. It will generate the bulk of the climate adaptation



and mitigation co-benefits, deriving from improved management of the forest landscape including protected areas, production forests, protection forests, and village forests within these categories.

- Livelihoods opportunities from sustainable forest landscapes (component 2): Its objective is to improve forest-smart livelihoods opportunities, vocational skills, and nature-based tourism (NBT) within the landscapes, and is closely linked to the natural resource planning and management activities of Component 1 and targets the same villages. The project would provide funding to Village Development Funds (VDFs) in the form of Village Livelihood Block Grants (VLBGs). VDFs are managed by the villages themselves as revolving mechanisms through a Village Development Committee (VDC), and are provided to households or groups as credits for specific farm and non-farm income-earning activities based on specific criteria and risk management. A proportion of 20% of the VLBG will be earmarked as grants to the most vulnerable members of the village such as widows, disabled people, and single mothers.

This component also strengthens employment opportunities by supporting vocational training and value chain development. Vocational training for locally appropriate market-based activities would provide additional employment opportunities. Besides this, it will support the establishment of a NBT support facility, to strengthen NBT development and private sector participation. This component would play a pivotal role in boosting the post COVID-19 recovery of rural livelihoods in forest areas, as well as facilitate the active and effective participation of women in community meetings, planning, and decision making.

- Institutions, incentives, and information (component 3): Its objective is to strengthen institutions, policies, incentives, and information for sustainable forest landscapes. This component would finance governance-related activities. Issues such as policy and regulatory development, inter-agency law enforcement coordination for illegal wildlife trade, environmental and social risk management, land and forest tenure, climate change monitoring, and natural capital valuation and impact assessments would be supported by this component.
- Project management, monitoring, and learning (component 4): Its objective is to maintain and enhance project management, monitoring, and learning. This component aims to ensure an efficient, transparent, and effective implementation of the project on the ground. Key activities include project management, monitoring, learning, and adaptive management, support to the GoL's resource mobilization, strategic communication, as well as regional coordination and dialogue on key issues.

## 2.3 Environmental and Social Baseline of the Project Area

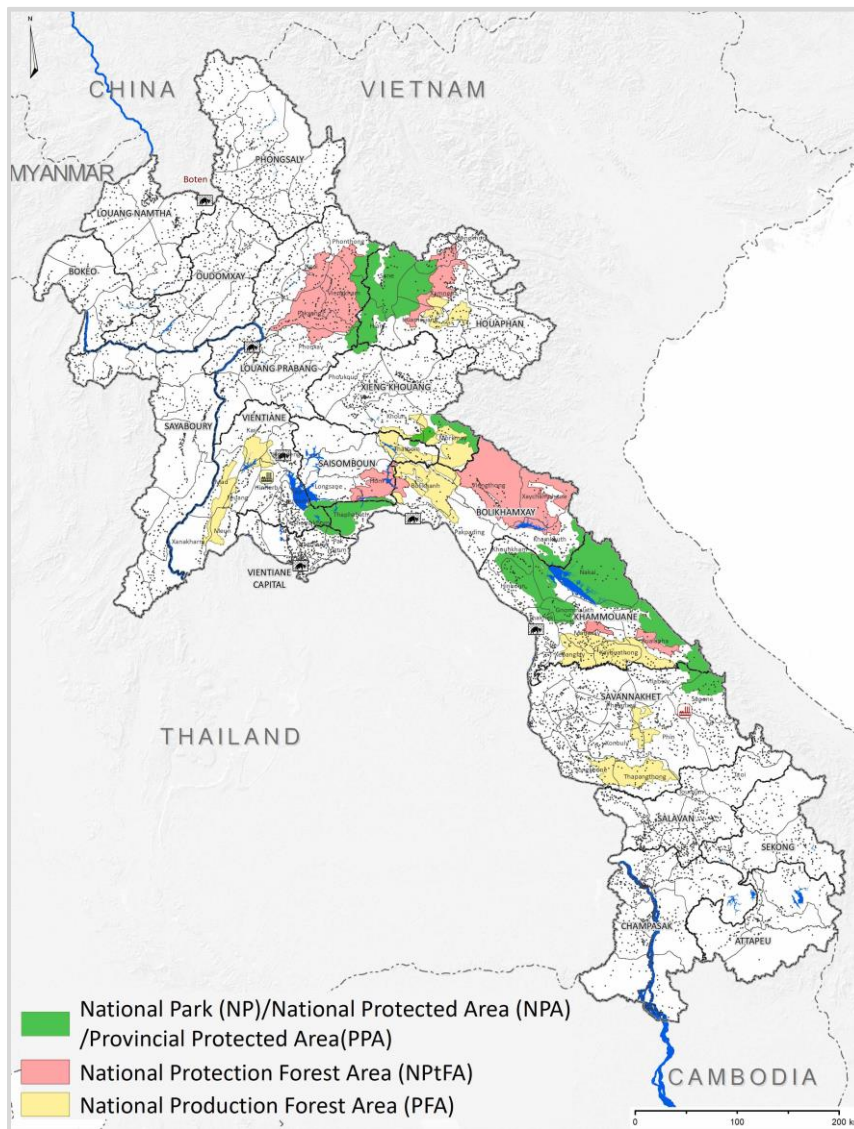
### *Environment*

The 5 priority landscapes of the LLL project stretch from Northern (e.g. Houaphan and Luang Prabang provinces) to Central Lao PDR (e.g. Savannakhet province), and therefore are characterized by varying and divers environmental conditions. They include geographical and geological land mark features, such larger parts of the Annamite karst mountain range, as well as high mountain tops (e.g. Phou Samsoung) and various well-known and complex cave systems (e.g. Konglo in Phou Hin Boun NPA, Xe Bangfai in Hin Nam No NP). The altitude ranges between 200 m above sea level (asl) in central food plains up to 2.700 m asl, second highest mountain in Lao PDR in the Tor Sip/ Phou Samsoum protected areas.

The tropical monsoon climate determines weather pattern within the 5 priority landscapes. This includes a rainy season from May to October, a dry season from November till March, as well as a transition period in between. Annual rainfall varies from around 1,400 to 2.500 mm. During the rainy season, flash flooding, landslides and severe erosion in unstable or deforested areas is not uncommon. Compared to the national average, temperatures are generally lower in Northern provinces and I higher altitudes and comparable to central Lao PDR. Temperatures can reach/

surpass 40 degree Celsius during the April/ May in Central provinces, and drop near freezing point during January/ February in Northern provinces and higher mountains.

Within the five priority landscapes, 8 Protected Areas will be supported, which together form the conservation backbone of the country as part of the Greater Annamites. They together make up for an area of approximately 1.5 million hectares and include (1) Nam Et-Phou Louey (NEPL) National Park, (2) Phou Khao Khouay (PKK) National Protected Area, (3) Tor Sib/ Phou Samsoum, (4) Phou Hin Poun NPA, (5) Nakai Nam Theun NP, (6) Hin Nam No NP, (7) Khoun Xe Nongma PPA, and (8) Laving Laverne NPA. Besides this, 11 National Production Forest Areas covering around 1,3 million hectare will receive support from the LLL project, which are important for long-term oriented and sustainable timber production. They include (1) Dong Phousoy, (2) Nakathing – Nongkapath, (3) Phouliew, (4) Houy Soup, (5) Phoutome, (6) Pak Buek, (7) Phoupasang – Pounghok, (8) Phou Gneuy, (9) Nongpet – Naxeng, (10) Dong Sithone, and (11) Dongkapo. In addition, 7 Protection Forests will be supported within the 5 priority landscapes, which ensure important watershed functions and cover an area of approximately 1,1 million hectare. They include (1) Phoulouang – Phoukhanok, (2) Lad Duea-Lad-yang, (3) Nam Sueng – Seng, (4) Nam Et – Nam Xam, (5) Nam Ngiep – Nam Mang, (6) Nam Mouane – Nam Gnung and (7) Xe Tanouane. The figure 1 shows the location of these forests, a detailed map is provided as Annex 22a.



**Figure 1: Location of LLL Priority Landscapes and Forest Categories**

These areas are characterized by diverse forest types, including evergreen, mixed deciduous, coniferous, mixed coniferous/ broadleaved, mountain and bamboo forests, as well as non-forest land uses such as tree plantations and different agricultural uses, including traditional swidden cultivation practices. Natural habitats such as wetlands, natural grasslands, scrub and karst vegetation also exists. Forests and natural habitats are under pressure (e.g. due to expansion of agricultural land, illegal logging, investments, fire), often resulting in deforestation and forest degradation, which has slowed down recently due to different policy measures and strengthened enforcement.

The priority landscapes include also areas of globally outstanding biodiversity (biodiversity hotspots) and conservation values, such as (a) the wet evergreen forest ecosystem in the Annamites, bordering Vietnam, arguably has the highest biodiversity, (b) the massive karst formations of Central Lao PDR, and (c) the montane forest ecosystem in the Greater Annamites occurring in the higher elevations generally has high species uniqueness. No other region of the world has as high a rate of endemism or endangerment among its biota. The protected areas within the 5 priority landscapes are characterized by a remarkable rich biodiversity and harbor

still a wide range of species, many endangered, including tigers, elephants, clouded leopards, golden cats, dholes, northern white-cheeked gibbons, Asiatic black bears, and Malayan sun bears. In protected areas such as Khoun Xe Nong Ma and Laving Laverne globally significant endemic Annamite species exist, including Larger Antlered Muntjak, Striped Rabbit and possibly still the iconic and rare Saola, which only exists in Vietnam and Lao PDR.

More detailed and landscape specific descriptions of the environmental conditions are provided in the S-ESMPs, which were formulated for all of the 5 LLL landscapes, especially in Chapter 3.2.

### **Social**

The LLL project will provide multiple benefits to multiple beneficiaries at local, provincial, national, regional and global levels. Direct project beneficiaries live in an estimated 547 forest-dependent villages in the targeted landscapes, with 219 inside or bordering PAs and 328 outside PAs. 72,000 households representing 396,000 people are estimated to reside in these villages.

The Lao-Tai ethnic group makes up 65 percent of the Lao population. The three largest ethnic minority groups include the Mon-Khmer, the Hmong-lumien, and the Chine-Tibet, which constitute 22 percent, 9 percent, and 3 percent of the population, respectively. In three landscape out of five (Nam Et Phou Leuy, Eastern Xiengkhuang and Savannakhet) the ethnic group represent the most important fraction of the population while in Khammouane and Phou Khao Khouay Lao-Tai speaking groups are dominating demographically. The table 2 below displays demographic figures extracted from the National census 2015.

Since 2012/13, the incidence of poverty declined by 6.3 to 18.3 % in 2018/19. The rural-urban gap and disparities across provinces have narrowed due to a faster decline in poverty in lagging areas and stagnation in more well-off regions. While the northern and southern provinces experienced a rapid decline in poverty, reductions in poverty stagnated in central Lao PDR, historically the wealthiest region. The provinces within the 5 landscapes with higher poverty include Savannakhet (accounts for 20.6 % of the poor population), Khammouane (8.3 %) and Luang Prabang (7.7 %). These provinces have large shares of the population as well as high poverty incidence. There has been a significant shift in the spatial distribution of the poor population as poverty declined in the northern provinces, while it has stagnated in the central region, which has become home to a significantly larger share of the poor.

Poverty remains higher among ethnic minorities (Chine-Tibet, Hmong-lumien, and Mon-Khmer) than the Lao-Tai ethnic group. Between 2012/13 and 2018/19, the poverty rate of the Lao-Tai, Mon-Khmer, and Chine-Tibet declined by almost one-third. Poverty only decreased by 15 % among the Hmong-lumien. As a result, poverty remains lowest among the Lao-Tai ethnic group at 10.6 %, followed by the Chine-Tibet (18.1 %) and the Mon-Khmer (32.7 %). The incidence of poverty has become the highest among the Hmong-lumien ethnic group, at 38.4 %. They constitute 19 % of the poor, despite making up less than 10 % of the population. The Lao-Tai and the Mon-Khmer ethnic groups each constitute 38 % of the poor population.

**Table 2: Demographic Ethno-linguistic Profiles of Landscapes<sup>3</sup>**

Priority Landscapes	Villages	Population	Women	Main Ethnic Groups (%)		
				Lao-Tai	Mon-Khmer	Hmong-lu-Hmien
Greater Nam Et - Phou Louey	157	69,394	36,581	41	21	24
Greater Phou Khao Khouay	79	98,197	49,375	77	3	17
Northern Annamites	117	61,308	30,888	45	13	37
Khammouane Biodiversity Complex	142	98,832	49,274	73	14	5
Savannakhet Conservation and Production Landscape	52	32,916	16,640	28	69	-

More detailed and landscape specific descriptions of the social conditions are provided in the S-ESMPs, which were formulated for all of the 5 LLL landscapes, especially Chapter 3.3.

### 3 Institutional and Regulatory Framework

#### 3.1 National Institutions and Responsibilities

Environmental Committees (EC) including all relevant Ministries, organizations, and others exist at central and sub-national levels to ensure that environmental policies and legislation are implemented, and to oversee proper implementation of environmental and social safeguard measures in the context of private and public investments.

Different **Ministries** are in charge and concerned with environmental management for private and public investments. They include foremost the Ministry of Natural Resources and Environment (MoNRE), but also other ministries such as the Ministry of Agriculture and Forestry (MAF), the Ministry of Planning and Investment (MPI), Ministry of Information, Culture and Tourism (MoICT), Ministry of Energy and Mines (MoEM) and the Ministry of Public Works and Transport (MPWC). The lead institution for ethnic affairs is the Lao National Front for Development (LNFD), which has a Department of Ethnic Affairs (DoEA). Beside this, the Department of Justice (DoJ) plays a crucial role together with the court system in enforcing environmental and social safeguard laws and regulations. Besides this, the Ethnic Groups Committee under the National Assembly (NA) is in charge of legislation concerning ethnic groups and follow up their implementation. The Lao Bar Association (LBA) has complementary responsibilities to create awareness on laws and regulations.

<sup>3</sup> The statistics about total population and percentage of women are average figures, exact numbers from village baseline surveys are not yet available.

**MoNRE** is the key agency with overall responsibility for environmental management including environmental policies, legislation, and their implementation, as well as monitoring and enforcement. MoNRE is in charge to implement the Environmental Protection Law (EPL), related decrees, regulations, and guidelines in close coordination and cooperation with concerned ministries, line agencies, and local authorities. Different re-organizations and re-allocations of responsibilities of various aspects of environmental management within MoNRE have taken place in 2017, as well as more recently in 2019 when the Department of Environment (DoE) was created by merging the Department of Environmental Quality Promotion (DoEQP) with the Department of Natural Resources and Environment Policy (DoNREP). The new DoE is in charge of SESA and ESIA regulation, review and approval. Main duties and responsibilities of MoNRE related to ESIA process include:

- Review and approve the scope of assessment and works for ESIA;
- Conduct field inspection and organize consultation meeting during the review of ESIA, ESMP, and investment plans;
- Engage specialists and/ or establish a panel of experts for the review of ESIA, ESMP and management plans for complex projects where necessary;
- Approve ESIA, ESMP, and investment plans;
- Issue, suspending or withdraw environmental compliance certificate (ECC);
- Monitor the implementation of ESMP and investment plans;
- Gather grievance and complaints from the project's affected people and related stakeholders;
- Conduct emergency and non-compliance issues in coordination with concerned ministries and local authorities;
- Regularly summarize and report results to the GoL.

Main duties and responsibilities of the Provincial Natural Resource and Environment Office (PoNRE) related to ESIA process include:

- Collaborate and facilitate project developers on the conduct of ESIA process;
- Conduct field inspection and organize consultation meetings during the review of ESIA documents;
- Appoint a panel of experts at the provincial level to review ESIA reports;
- Provide recommendation to MoNRE to suspend or withdrawal ECC where necessary;
- Request provincial governor to establish ad hoc committee to monitor environmental issues of investment projects and activities in case of emergency and where necessary;
- Gather comments, feedback and complaints/grievances from project's affected people, and proposed resolutions;
- Regularly summarize and report the implementation of ESMP of projects and activities to MoNRE.

Main duties and responsibilities of the District Natural Resource and Environment Office (DoNRE) related to ESIA process include:

- Participate in ESIA process and monitor the ESMP implementation if investment projects and activities;
- Provide comments on ESIA, ESMP, and management plans;

- Gather comments, requests, or complaints from people affected by development projects and activities and related stakeholders, and proposed solutions for any dispute;
- Coordinate with other stakeholders in the ESIA process;
- Regularly summarize and report the implementation of environmental management activities to PoNRE and local authorities.

The other relevant Ministries such as MAF, MPI, MoICT, MoEM, and MPWC, and their offices at provincial and district level have specific responsibilities and roles for environmental and natural resources management, based on related sectoral laws and regulations. Their rights and responsibilities related to ESIA process include:

- Coordinate with the natural resources and environment sectors and related agencies in preparation of plans, budgets for environmental monitoring and inspection of projects and activities;
- Oversee the implementation of environmental and social management and mitigation measures of projects and activities;
- Encourage development projects to apply environmental-friendly approaches and technologies in construction and operations of projects.

Details related to implementation arrangement and responsibilities for the proposed LLL project and to implement the ESMF are described in detail in Chapter 6.1.

### 3.2 International Commitments and National Regulatory Framework

The proposed LLL project will be implemented in compliance with relevant international commitments of the GoL, as well as the existing national policy and regulatory framework including various environmental and sector-specific policies and legislation.

The Lao PDR is a signatory of and/ or endorsed a number of **Multilateral Environmental Agreements** (MEAs). The most relevant for environmental safeguards are the United Nations Framework Convention on Climate Change (UNFCCC), the Convention on Biological Diversity (CBD), the United Nations Convention to Combat Desertification (UNCCD), the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES), the Rotterdam Convention on Hazardous Chemicals and Pesticide and the Ramsar Convention on Wetlands. Lao PDR has also endorsed and signed MEAs with relevance to social safeguards, such as the United Nations International Labour Organization Convention No. 169 on Indigenous and Tribal Peoples (ILO 169), the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), the Convention to Eliminate Discrimination against Women (CEDAW) and the Convention on Cluster Munition (CCM).

Various national and **sector policies and strategies** were developed by different Ministries and are relevant in this context. The most important include the National Green Growth Strategy (GoL, 2019), National Climate Change Strategy (MoNRE, 2010), National Biodiversity Strategy and Action Plan 2016-25 (MoNRE, 2016), Forestry Strategy 2020 (MAF, 2005, currently amended to Forestry Strategy 2025/ Vision 2030), National Agricultural Development Strategy 2016-25 (MAF, 2016), National Policy on Land (MoNRE, 2017), National Strategy on Advancement of Women and Mothers and Children 2016-2025 and Vision 2030 and National Policy on Health Impact Assessment (MoH, 2006).

Based on the Constitution (GoL, amended 2015) and international commitments a comprehensive **regulatory framework** including various laws, decrees, and instruction/ regulation has been established by the GoL since the 1990s to govern the environment, as well as the utilization and conservation of natural resources (land, forest, water, aquatic and wildlife).

Many of them have been revised, updated, and amended in the meantime, some of them repeatedly. An overview of important national legislations, including laws, decrees, orders, instructions, and others that are explicit and implicit relevant for the ESMF and safeguard application in the context of the LLL project is provided in Table 3 below.

**Table 3: Important Relevant National Legislation**

<b>Title and Number of the Legislation</b>	<b>Issued</b>	<b>Relevance to WB's ESF</b>
<b>Laws</b>		
Law on Disaster Management, No. 15/ NA	24/06/2019	ESS 1
Amended Law on Forestry, No. 08/ NA	13/06/2019	ESS 6
Law on Resettlement and Vocation, No. 86/ NA	15/06/2018	ESS 5
Law on Water and Water Resources, No. 23/ NA	11/05/2017	ESS 3
Law on Road Traffic, No. 021/ NA	08/11/2016	ESS 4
Law on Civil Servant & Officials No.74/ NA	18/12/2015	ESS 4
Law on Anti-Trafficking in Persons, No. 73/ NA	17/12/2015	ESS 2
Law on Grievance Redress, No. 53/ NA	09/11/2014	ESS 10
Law on Preventing and Combating VAWC, No. 56/ NA	23/12/2014	ESS 2/ 4
Law on National Heritage, No. 44/ NA	24/12/2013	ESS 8
Law on Labour Protection, No. 43/ NA	24/12/2013	ESS 2
Law on Lao Women's Union, No. 31/ NA	23/07/2013	ESS 2
Law on Environment Protection, No. 29/ NA	18/12/2012	ESS 1/ 10
Amended Law on Hygiene, Prevention and Health Promotion, NA	2011	ESS 2/ 4
Law on Construction, No. 05/ NA	26/11/2009	ESS 2
Amended Law on Wildlife and Aquatic, No. 42/ NA	17/07/2023	ESS 6
Law on the Protection of the Rights and Interests of Children No. 05/ NA	27/12/2006	ESS 2
Amended Law on Land, No. 70/ NA	21/06/2019	ESS 5
<b>Decrees, Orders and Notices</b>		
Decree on Protected Area, No. 219/ GoL	20/06/2023	ESS 6
Decree on Environmental Impact Assessment, No. 389/ PMO	20/10/2022	ESS 1/ 10
Decree on Management of International Trade in Endangered Species of Aquatic Animal, Wild Fauna and Flora	11/11/2022	ESS 6
Decree on Ethnic Groups, No. 207/ GoL	20/03/2020	ESS 7
Decree on Promotion of Commercial Tree Plantations, No. 247/ GoL	20/08/2019	ESS 6
Decree on Code of Conduct for Civil Servants/Officials, No. 184/ GoL	26/06/2019	ESS 7
Decree on Occupational Health and Safety, No. 22/ GoL	05/02/2019	ESS 2/ 4
Decree on Nam Eth Phou Loei Nationalpark, No. 35/ GoL	15/02/19	ESS 6



Title and Number of the Legislation	Issued	Relevance to WB's ESF
Decree on Nakai Nam Theun Nationalpark, No. 36/ GoL	15/02/19	ESS 6
Decree on Environmental Impact Assessment, No. 21/ PMO	31/01/2019	ESS 1/ 10
Order on Strengthening Strictness on Managing, Protecting, Developing and Utilizing Forest and Forestland; Preventing and Controlling Forest Fires and Encroachment into Forest and Forestland	21/07/23	ESS 6
Order on Measures to Combat, Prevent, Control and Prepare to Combat COVID-19, No. 06/ PMO	29/03/2020	ESS 1/ 2/ 4
Notice to Extend Time and Additional Advices to Implement PM Order No. 06., No. 481/ PMO	15/04/2020	ESS 1/ 2/ 4
Notice to Further Implement Measures to Prevent, Control, Combat and Cope with COVID-19, No. 524/ PMO	01/05/20	ESS 1/ 2/ 4
Order on Strengthening Strictness of the Management and Inspection of Prohibited Wild Fauna and Flora, No. 05/ GoL	08/05/2018	ESS 6
Order on the Enhancement of Land Management for Industrial and Agricultural Crop Concessions, No. 09/ GoL	2018	ESS 6
Decree on Pesticide Management, No. 258/ GoL	24/08/2017	ESS 2/ 4
Decree on the Promulgation and Enforcement of National Environmental Standards, No. 81/ PMO	21/02/2017	ESS 1/ 10
Decree on Compensation and Resettlement of People Affected by Development Projects, No. 84/ GoL	05/04/2016	ESS 5
Order on Strengthening Strictness of Timber Harvest Management and Inspection, Timber Transport and Business, No. 15/ GoL	13/05/2016	ESS 6
Decree on Protected Areas, No. 134/ GoL, currently amended	13/5/2015	ESS 6
Order on the Temporary Suspension of Logging in All Production Forests, No. 31/ GoL	2013	ESS 6
Order on the Temporary Suspension of Logging in All Production Forests, No. 31/ GoL	2013	ESS 6
Decree on Revenue Sharing for Timber Harvested from Production Forest Areas, No. 001/ President	2012	ESS 6
Order on the Prevention of Harvesting and Buying-Selling of Protected Species, No. 10/ GoL	2011	ESS 6
<b>Decisions, Directives, Instructions, and others</b>		
Decision on Categorization of Investment Projects Requiring Initial Environmental Examination (IEE) and Environmental Impact Assessment (EIA), No. 0358/ MoNRE	24/02/2023	ESS 1/ 10
Decision on Strategic Environmental Assessment, No. 0483/ MoNRE	06/02/2017	ESS 1
ESIA Technical Guidelines, No. 2796.1/ MoNRE	19/12/2016	ESS 1/ 10

Title and Number of the Legislation	Issued	Relevance to WB's ESF
Ministerial Instruction on Hazardous Waste Management, No: 0744/ MoNRE	11/02/2015	ESS 2/ 4
Decision on Occupational Health and Safety at Construction Sites, No. 3006/ MLSW	21/08/2013	ESS 2/ 4
Public Involvement Guidelines in ESIA Process, No. 707/ MoNRE	05/02/2011	ESS10
Decision on Good Agricultural Practices for Produce Quality Management Standard No. 0539/ MAF	09/02/2011	ESS 6
Decision on Good Agriculture Practice for Environmental Management No. 0538/ MAF	09/02/2011	ESS 6/ 3
Decision on Good Agricultural Practice for Labor Safety, Health and Welfare No. 0540/ MAF	09/02/2011	ESS 2
Ministerial Regulation on the Control of Pesticides, No. 2860/ MAF	2010	ESS 4
Ministerial Instruction on Customary Rights No. 564/ NLMA	2007	ESS 7
Village Forestry Regulation No. 0535/MAF, 2001	2001	ESS 6

In the following paragraphs, important stipulations of the most relevant legislations are briefly described.

The **Constitution** of Lao PDR acknowledges all forms of property rights under Article 16, and encourages protection and restoration of environment and natural resources in a participatory and sustainable manner in the Article 17. It also specifies that Lao PDR is a multi-ethnic society, and all ethnic groups and citizens have equal rights. Besides this, it specifically recognizes the need to incorporate the concerns of ethnic groups in developing policy in all sectors.

Of central importance in this context is the **Environmental Protection Law (EPL)**, which was established in 1999 and revised in 2012. It describes principles, regulations, and measures for managing, monitoring, restoring, and protecting the environment in order to ensure environmental quality, reduction of impacts, and pollution created by human activities. Key activities under the environmental activities are specified in detail in Articles 19, 21, and 22 of this law, including the requirements for Strategic Environment Assessment (SEA), an IEE, and an ESIA. The following stipulations/ Articles should be highlighted:

- Article 12 promotes green and clean environment free of pollution as a cornerstone in environmental management. Article 82 assigns village authorities with the duty to keep the village green and clean, and to protect streams and community forest.
- Article 23, 24, 25, 26 stipulate general requirements to develop and implement environmental management and monitoring plans and to comply with the environmental standards, prevent and control pollution, clean-up and rehabilitate the environment in case of accidental release of hazardous chemicals.
- Articles 33, 34, 35 contain general requirements to strictly comply with the National Environmental Quality Standards (NEQS) and the National Pollution Control Standards (NPCS).

- Article 38, 39, and 40 define general requirements to handle, treat, and dispose of general waste and hazardous waste in accordance with specific regulations; and to control and monitor potential pollution.
- Article 79 establishes MoNRE as the lead environmental authority and regulator with the responsibility to implement the ESIA system and to inspect and ensure that the environmental and social impacts from investment projects are mitigated.

In late 2013, the Environment and Social Impact Assessment (ESIA) and Initial Environmental Examination (IEE) regulations were established. They were upgraded in 2019 by the **Decree on Environmental Impact Assessment** which defines the principles, regulations, and procedures on management, monitoring, and inspection of EIA to prevent, reduce, or restore negative environmental impacts and to ensure that the affected people are compensated and assisted in restoring and improving their living conditions. It incorporated some of the provisions provided in the Regulations No. 8029 and 8030, such as that PAFOs and DAFOs have to be consulted as part of the IEE/ ESIA processes concerning possible impacts on forests, biodiversity, and local communities.

A new update was developed by the GoL and has replaced this Decree (Decree on Environmental Impact Assessment No. 389, dated 20. October 2022). It stipulates principles, regulations and measures related to environmental impact assessments and management aiming at preventing, reducing and mitigating environmental and social impacts of investments. The overall structure has remained similar, the update has 12 Parts (the old one 13) and 82 Articles (down from 87 in the old one), with some changes (e.g. dispute resolution was moved from Part X and integrated into Parts III and IV in the new update). Two groups of investment projects or activities are defined Article 9: (1) with anticipated little or no impacts for which preliminary studies should be conducted (IEE), and (2) with significant/ serious impacts for which detailed EIA must be conducted (both are in detail listed in the recent MoNRE Decision No. 0358<sup>4</sup>, dated 24.02.23). Part III is the most comprehensive and includes Articles that describe details related to IEE, EIA, review process and responsibilities, deploying specialists and social participation. Environmental certification, monitoring, rights and obligations, disclosure, prohibitions are outlined in Part IV to IX. Part X is dedicated to management and inspection. Some of the main differences compared to the updated Decree in 2019 include: time for reviewing IEE/ EIA was shortened, inter-sectoral cooperation and coordination was strengthened (e.g. for review of IEE/ EIA), the owner of an investment can conduct IEE directly in case of capacity, or hire a licensed service provider, and health related impacts received more attention (e.g. for investments with significant/ serious impacts, a separate health impact assessment report needs to be developed).

The **Decree on National Environmental Standards** (2017) specifies environmental quality standards and emission limit values for air, noise, and wastewater emission from different types of activities, as well as the **Ministerial Instruction on Hazardous Waste Management** (2015) that identifies and classifies hazardous waste, includes provisions on import, export, transfer, storage, use, recycling and disposal of hazardous waste. The objective is to prevent and reduce the generation of hazardous waste. The Instruction on the Conduct of IEE issued by MoNRE in 2013, includes a list of investments and activities that are required to prepare an IEE or an ESIA. For the agriculture and forestry related activities, the examples of investments that require an IEE include industrial tree plantation 20-200 ha, cash crops 20-400 ha, big livestock such as cattle and pigs >500 heads, aquaculture, and ponds >10 ha.

The **Decree on Pesticide Management** (2017) defines the principles, regulations, and measures regarding the use of pesticides, management, and monitoring of pesticide activities to ensure the quality, efficiency, and safety for humans, animals, plants, and the environment, and to achieve clean, green and sustainable agriculture. The **Regulation on the Control of Pesticides** (2010) provides details on the use of pesticides, as well as the ways to collect and destroy pesticides, to

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<sup>4</sup> This Decision requires IEE for construction and rehabilitation of all kind of roads, including the rehabilitation of rural access roads that are funded by LLL.

avoid negative impacts on people, animals, and the environment according to the Article 23 and 24.

The **Forestry Law** (amended 2019) sets key conditions for the management of forests, and thus is of particular relevance for the development of natural resources in Lo PDR. The revised Forestry Law endorsed by the National Assembly in June 2019 allows local people to plant trees and NTFP inside village territory, have tenure of the planted objects, and sell them for commercial purposes. Commercial use of trees from natural forest is, however, restricted. The law recognizes customary utilization of “forest, timber, and NTFPs” on a non-commercial basis. Article 7 includes general requirements to protect forest, forest resources, water resources, biodiversity, and the environment. Articles 14-19 define three types of forest areas: Protection Forests; Conservation and Production Forests. Establish conversion rules. Article 22, 69-72 define forest management and zoning in total protection zones, controlled use zones, and buffer zones. Articles 23 and 39 contain provisions on planning, surveying, and harvesting of NTFPs and logging. Articles 46-50 are provisions on management and preservation of forest, water resources and tree, and NTFP species. Articles 77-86 are about utilization and conversion of forest land.

The **Water and Water Resources Law** (2017) requires that the Project developers prepare a Plan for the protection and rehabilitation of protection forests (Article 24). It also stipulates that individual or organization have obligations in protecting water and water resources, rehabilitate forest resources and land in the watershed areas in strict compliance with management plans of water resources, forests, and land (Article 26) as well as encouraging forest rehabilitations and protection in the watershed areas, promotion of organic fertilisers, waste disposal and wastewater treatment as means to restore damaged water resources (Article 56). It also requires that project developers must compensate for forest and biodiversity loss through reforestation, watershed management and biodiversity offset as part of the ESMP.

The amended **Law on Wildlife and Aquatic** (2023) includes principles, general requirements, regulations, obligations and measures to protect and conserve biodiversity including wildlife and aquatic species. It categorizes wildlife and aquatic species into 3 categories (Articles 10-13): prohibited category (list I), which includes species that are rare, threatened and are at risk of extinction; managed category (list II), which includes species which are not rare/ threatened by extinction but valuable for the eco-system, research and education; and general category (list III) which includes species capable of reproducing widely are important for ecosystem, livelihood of people and socio-economic development. Articles 14-27 sets forth provisions on their management, Articles 28-34 on their protection and Articles 39-49 on their utilization, including prohibition and restrictions on hunting, trading, and possession of wildlife and aquatic fauna. The list of endangered species has also been amended prior to this in 2021.

The amended **Land Law** (2019) stipulates that land is ownership of the national community as prescribed in Article 3 whereby the State represents the ownership holder and manages lands in a centralized and uniform manner across the country with land allocation plans, land use planning and land development. The State grants long-term and secured land use rights Lao citizens as well as legal persons, collectives and organizations of Lao citizens. According to Article 81 use rights of State land can be allocated by the State to villagers for collective use of such lands, which could include cemeteries, sacred forest, common ponds, temples, schools, health centers, village administrative office and village markets. The rights only include to protect and utilize the land for collective interests of the villagers. This amendment states in Article 99 that a land title is the only main document as evidence about land use rights, whereby two types are differentiated: State Land title and land title for individual, legal entity and organization. The acquisition of customary land use right is also defined in Article 130, which is the acquisition by Lao citizens of their occupied and used lands through clearance, development, protection and regular use of the land for more than twenty years before this Law became effective (1994). The State acknowledges and protects the customary land use rights of the person and proceeds with land title registration in accordance with the laws. Compensation of loss of land is regulated by Articles 148 – 155, and settling land disputes defined in Articles 161 – 166.

Recognizing that Lao PDR is facing many land-related issues such as land allocation, land use planning, benefits from land, the Politburo (Central Committee) has issued a **Resolution on Land** (2017), that provides guidance on land management and development, with a focus on centralization and consistency of land management. It requires a review of agriculture land use to ensure conformity with protecting the environment, meeting the demands for national development with green growth and sustainability, increasing land quality, and ensuring land for agriculture to guarantee food security.

The rights of ethnic groups as stated in the Constitution and other policies/ laws, were detailed and strengthened in the recent Government **Decree on Ethnic Groups**, which includes provisions to enforce comprehensive support to ethnic groups in rural/ remote areas, such as access to infrastructure, education, health, information, justice, and gender. The GoL also promotes the development, protection, and advancement of women, and supports their participation, decision-making, and equitable benefit-sharing in all development activities according to Article 4 of the **Lao Women's Union Law** (2013). The **Law on the Development and Protection of Women and Children** (2004) guarantees and promotes the roles of women, to define fundamental measures for developing and protecting the legitimate rights and interests of women, and to define the responsibilities of the State, society, and family toward women. It includes various aspects, such as gender equality; eliminating all forms of discrimination against women; and preventing and combating trafficking in women and children, and domestic VAWC. It encompasses domestic and public violence, including in educational institutions, workplaces, and alternative care settings.

The **Law on Preventing and Combating VAWC** (2014) defines the principles, rules, and measures for preventing and combating VAWC by prevention, protection, provision of assistance to victims of violence, and handling of such violence to protect the rights and legitimate interests of women and children; aims to eliminate all forms of VAWC, uphold the roles and dignity of women and children, achieve gender equality. It specifically addresses VAWC that results in or is likely to result in danger, harm, or physical, psychological, sexual, property, or economic suffering by women and children.

The **Lao Labour Law** (2013) defines the principles, regulations, and measures on administration and monitoring of labour skills development, recruitment, and labour protection. Article 5 requires that working conditions are safe. Article 59 stipulates prohibits unauthorized forced labour in any form. Article 119 requires employers to maintain a safe workplace and ensure good work conditions for the health of the employees. The employer shall supply information, training, and protection for employees so that they may undertake their work safely; and supply individual safety gear to employees according to international standards. Article 122 requires that the employer must inspect and assess risks to safety and health of the workplace regularly and report the results to the Labour Inspection Agency. Article 125 specifies how to deal with workplace accident or occupational disease that causes major injury or death. This law is detailed by the **Decree on Occupational Health and Safety** (2019) that requires employers to provide annual health check-ups for its employees, and re-enforces that work accidents and occupational diseases need to be recorded and reported to the Labour Management Authorities. An employer or the social security organization is responsible for covering the cost of treatment, allowances, and compensation to victims of work accidents or occupational diseases.

The legal conflict resolution mechanism is described in the **Law on Grievance Redress** (2014) combining traditional/ customary system with judicial system including the courts, as well as including mass organizations. Any urgent issues, complaints, or inquiries can be publicly voiced to the National Assembly members, or through the National Assembly Hotline. Grievance redress can also be pursued through administrative channels or Party channels, via the Lao National Front for Construction concerning ethnic issues, and the Lao Women's Union, concerning women's issues. The **Public Involvement Guidelines** (2013) introduces Environmental and Social Impact Assessment and defines related public involvement processes, which are information gathering, information dissemination, consultation, and participation, to ensure project activities are designed with consideration to minimize social and environmental negative impacts.

The **National Heritage Law** (2013) states that socio-economic development shall proceed along with protection and conservation of the national heritage. It defines cultural, historical, and natural heritage, noting that natural heritage may have scenic or ecological value. The Law also sets out zoning and measures for the protection of heritage sites. Projects are required to immediately report to MoICT if any national heritage is found during the implementation of any activities, and they shall suspend their activities until an approval to proceed is granted. It is prohibited to cause damages to national cultural and historical heritage including destroying archaeological and anthropological sites or changing the conditions of a natural heritage area. Article 42 provides that any socio-economic development activities including infrastructure development in the national cultural and historical heritage areas or places where it is suspected that there is any national cultural and historical heritage shall obtain prior approval from the MoICT.

### 3.3 World Bank's Environmental and Social Framework

The WB's new **Environmental and Social Framework** (ESF), which was officially endorsed and launched in October 2018, is applied to the proposed LLL project, one of the first projects in the sector. The ESF objective goes beyond the traditional 'do no harm' approach to maximize development gains. This new ESF includes broadened scope and additions related to environmental (e.g. more focus on climate resilience, climate change disaster and pollution control) and social safeguards (e.g. specifics on occupational health and safety, labour and working conditions, community health and safety). It enables to better manage environmental and social risks of projects and to improve development outcomes. This ESF offers broad and systematic coverage of adverse environmental and social risks and makes important advances in areas such as transparency, non-discrimination, public participation, and accountability including expanded roles for grievance mechanisms.

The ESF includes 10 **Environmental and Social Standards** (ESS) that set out requirements for clients related to the identification, assessment, and management of environmental and social risks and impacts associated with projects. The ESSs are designed to support goals such as to reduce poverty and increase prosperity in a sustainable manner for the benefit of the environment and citizens. Besides this, they help clients to (i) achieve good international practice related to environmental and social sustainability; (ii) fulfill national and international environmental and social obligations; (c) enhance non-discrimination, transparency, participation, accountability, and governance; and (d) enhance the sustainable development outcomes of projects.

The ESS 1 applies to all projects, as it establishes the importance of (a) the Borrower's existing environmental and social framework in addressing the risks and impacts of the project, (b) an integrated environmental and social assessment to identify all risks and impacts of the projects, (c) effective community engagement through disclosure of project-related information, consultation and feedback, and (d) management of environmental and social risks and impacts by the Borrower throughout the project life cycle. The ESS 2-10 set out the obligations of the Borrower in identifying and addressing environmental and social risks and impacts that may require particular attention. All 10 ESS are applicable to the proposed LLL project, except ESS 9. As the ESF and 10 ESS of the WB are more recent, and not yet known by many stakeholders concerned, the following paragraphs introduce the 10 ESS and outline their objectives:

- **ESS 1 - Assessment and Management of ES Risks and Impacts:** It sets out the Borrower's responsibilities for assessing, managing, and monitoring environmental and social risks and impacts associated with a project supported by the Bank. It has the following objectives: (1) to identify, evaluate and manage the ES risks and impacts of the project in a manner consistent with the ESSs; (2) to adopt a mitigation hierarchy approach to (a) anticipate and avoid risks, (b) minimize or reduce risks and impacts to acceptable levels where avoidance is not possible, (c) once risks and impacts have been minimized or reduced, mitigated, as well as (d) where significant residual impacts remain, compensate or offset them where technically and financially feasible; (3) to adopt differentiated measures so that adverse impacts do not fall disproportionately on the disadvantaged or vulnerable, and they are not disadvantaged in sharing development benefits and opportunities from the project; (4) utilize national institutions,

systems, laws, regulations, and procedures in the assessment and implementation of projects whenever appropriate; and (5) promote improved ES performance in ways in which recognize and enhance the Borrower's capacities.

- **ESS 2 - Labour and Working Conditions:** It recognizes the importance of employment creation and income generation in the pursuit of poverty reduction and inclusive economic growth. Borrowers can promote sound work management relationships and enhance the development benefits of a project by treating workers in the project fairly and providing safe and healthy working conditions. It has the following objectives: (1) to promote safety and health at work; (2) to promote the fair treatment, nondiscrimination, and equal opportunity of project workers; (3) to protect project workers, including vulnerable workers such as women, persons with disabilities, children and migrant workers, contracted workers, community workers, and primary supply workers as appropriate; (4) to prevent the use of all forms of forced labour and child labor; (5) to support the principles of freedom of association and collective bargaining consistent with national law; and (6) provide project workers with accessible means to raise workplace concerns.
- **ESS 3 - Resource Efficiency and Pollution Prevention and Management:** It recognizes that economic activity and urbanization often generate pollution to air, water, and land, and consumes finite resources that may threaten people, ecosystem services, and the environment at the local, regional and global levels, such as increasing concentration of GHG resulting in climate change. It has the following objectives: (1) to promote the sustainable use of resources, including energy, water, and raw materials; (2) to avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities; (3) to avoid or minimize project-related emissions of short and long-lived climate pollutants; (4) to avoid and minimize generation of hazardous and non-hazardous waste; and (5) to minimize and manage the risks and impacts associated with pesticide use.
- **ESS 4 - Community Health and Safety:** It recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. In addition, communities that are already subjected to impacts from climate change may also experience acceleration or intensification of impacts due to project activities. It has the following objectives: (1) to anticipate and avoid adverse impacts on the health and safety of project-affected communities during the project life cycle; (2) to promote quality and safety and consider actions relating to climate change in the design and construction of infrastructure; (3) to avoid or minimize exposure to project-related traffic and road safety risks, diseases and hazardous materials; (4) to have in place effective measures to address emergency events and (5) to ensure that the safeguarding of personnel and property is carried out in a manner that avoids or minimizes risks to the project affected communities.
- **ESS 5 - Land Acquisition, Restrictions on Land Use, and Involuntary Resettlement:** It recognizes that project-related land acquisition and restrictions on land use can have adverse impacts on communities and persons. Project-related land acquisition or restriction on land use may cause physical displacement, economic displacement, or both. The term 'involuntary resettlement' refers to these impacts. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restriction on land use that results in displacement. It has the following objectives: (1) to avoid involuntary resettlement or, when unavoidable, minimize involuntary resettlement by exploring project design alternatives, (2) to avoid forced eviction, and (3) to mitigate unavoidable adverse social and economic impacts from the land acquisition or restrictions on land use by (a) providing timely compensation for loss of assets at replacement.
- **ESS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources:** It recognizes that protecting and conserving biodiversity and sustainably managing living natural resources are fundamental to sustainable development. Biodiversity is defined as the variability among living organisms from all sources including inter alia terrestrial, marine, and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species, and of ecosystems. Biodiversity often underpins

ecosystem services value by humans. Impacts on biodiversity can therefore often adversely affect the delivery of ecosystem services. It has the following objectives: (1) to protect and conserve biodiversity and habitats, (2) to apply the mitigation hierarchy and the precautionary approach in the design and implementation of projects that could have an impact on biodiversity, (3) to promote the sustainable management of living natural resources and (4) to support livelihoods of local communities, including indigenous peoples, and inclusive economic development.

- **ESS 7 - Indigenous Peoples/ Sub-Saharan African Historically Underserved Traditional Local Communities:** It applies to a distinct social and cultural group identified in accordance with paragraphs 8 and 9 of this ESS. The terminology used for such groups varies from country to country and often reflects national considerations (e.g. 'indigenous', 'ethnic minorities', 'aboriginals', 'hill tribes', 'tribal groups'). It has the following objectives: (1) to ensure that the development process fosters full respect for human rights, dignity, aspirations, identity, culture and natural resources-based livelihoods of indigenous peoples, (2) to avoid adverse impacts of projects on indigenous peoples, or when avoidance is not possible, to minimize, mitigate and/ or compensate for such impacts, (3) to promote sustainable development benefits and opportunities for indigenous people in a manner that is accessible, culturally appropriate and inclusive, (4) to improve project design and promote local support by establishing and maintaining an ongoing relationship based on meaningful consultation with indigenous peoples affected by a project throughout the project life cycle, (5) to obtain Free, Prior Informed Consent (FPIC) of affected indigenous people, and (6) to recognize, respect and preserve the culture, knowledge and practices of indigenous peoples and to provide them with an opportunity to adapt to changing conditions in a manner and in a timeframe acceptable to them.
- **ESS 8 - Cultural Heritage:** It recognizes that cultural heritage provides continuity in tangible and intangible forms between the past, present, and future. People identify with cultural heritage as a reflection and expression of their constantly evolving values, beliefs, knowledge, and traditions. Cultural heritage in its many manifestations is important as a source of valuable scientific and social asset for development, and as an integral part of people's cultural identity and practice. It has the following objectives: (1) to protect cultural heritage from adverse impacts of project activities and support its preservation, (2) to address cultural heritage as an integral aspect of sustainable development, (3) to promote meaningful consultation with stakeholders regarding cultural heritage, and (4) to promote the equitable sharing of benefits from the use of cultural heritage.
- **ESS 9 - Financial Intermediaries:** It recognizes that strong domestic capital and financial markets and access to finance are important for economic development, growth, and poverty reduction. The Bank is committed to support sustainable financial sector development and enhance the role of domestic capital and financial assets. It has the following objectives: (1) to set out how the FI will assess and manage ES risks and impacts associated with subproject it finances, (2) to promote good ES management practices in the subprojects the FI finances, and (3) to promote good environmental and sound human resources management within the FI.
- **ESS 10 - Stakeholder Engagement and Information Disclosure:** It recognizes the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice. Effective stakeholder engagement can improve ES sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation. It has the following objectives: (1) to establish a systematic approach to stakeholder engagement that will help the Borrowers identify stakeholders and build and maintain a constructive relationship with them, (2) to assess the level of stakeholder interest and support for the project, and to enable stakeholders views to be taken into account in project design and ES performance, (3) to promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life cycle on issues that could potentially affect them, and (4) to ensure that



appropriate project information on ES risks and impacts is disclosed to stakeholders in a timely, understandable, accessible and appropriate manner and format.

The Bank classifies its projects into **four classifications**: High risk, substantial risk, moderate risk, or low risk. In determining the appropriate risk classification, the Bank will take into account relevant issues, such as the type, location, sensitivity, and scale of the project; the nature and magnitude of the potential adverse environmental and social risks and impacts, and the capacity and commitment of the Borrower to manage the environmental and social risks and impacts in a manner consistent with the ESSs.

For projects involving multiple small **sub-projects** that are identified, prepared, and implemented during the course of the project (e.g. in the case of community-driven development/ CDD), the Bank will review the adequacy of national environmental and social requirements relevant to the sub-projects and assess the capacity of the Borrower to manage the environmental and social risks and impacts of sub-projects as required. If the Bank is not satisfied that adequate capacity exists on the part of the Borrower, all sub-projects will be subject to prior review and approval by the Bank until it is established that adequate capacity exists. When necessary, the project will include measures to strengthen the capacity of the Borrower.

The Bank requires the Borrower to carry out **appropriate environmental and social assessment of sub-projects** planned under Bank's financing project. Where sub-projects are likely to have minimal or no adverse environmental and social risks and impacts, such sub-projects do not require further environmental and social assessment following the initial screening.

In the context of LLL, as the project environmental and social risk is classified as "Substantial" and set of ESF instruments including this ESMF are developed to manage possible environmental and social risk and impact. All proposed sub-projects under LLL will be screened, if found an EIA is required to be carried out, the proposed sub-project will be dropped from project financing.

### 3.4 Gap Analysis

This chapter builds upon the information on relevant legislations of the GoL (Chapter 3.2), and requirements of WBs recent ESF (Chapter 3.3). It summarizes major gaps that have been identified by comparing requirements of WBs ESF and relevant national legislations. Generally, the GoL has established a comprehensive regulatory framework including various laws, decrees and instruction/ regulation to govern the environment, as well as to utilize and conserve natural resources with explicit and implicit relevance for the ESMF and safeguard application. Many of them have been revised, updated and amended also more recently. For all ESS that are relevant to the LLL project national legislations exist and no major gaps have been identified. However, there are minor deviations that are addressed by the ESMF and its ES instruments. These gaps and measures to address them are outlined below, following the logic of WBs 10 ESS:

- **ESS-1: Assessment and Management of Environmental and Social Risks and Impacts**

**National legislation:** Based on the Environmental Protection Law (2012), the updated EIA Decree issued by PMO in 2022 is highly consistent with ESS1, and complemented by other legislations such as the Decision on SEA by MoNRE (2017), and sub-ordinate legislation such as ministerial Instructions (e.g. on ESIA/ 2013) and technical guidelines (e.g. on ESIA/ 2016). They provide a due process and guidance to assess ES risks and impacts, identify mitigation and compensation measures, and monitor compliance. Their goal being the avoidance of impacts associated with development projects on people and their environment, and also reflects principles of sustainable development, preventing that local people are negatively affected.

**Gaps and measures to address them:** No main gaps exist related to ESS 1, and overall requirements are met. However, a Security Risk Assessment (SRA) was required to assess ES risks and impacts, as well as to identify mitigation measures due to the involvement of the Lao Army in the collaborative management of the PKK National Park. A SRA is missing in the national

legislations. In line with the national regulations (where relevant) and ESS1 requirements, the LLL project applies a structured approach to ES management that follows the mitigation hierarchy of avoidance, minimizing, and mitigating potential negative risks and impacts, as well as enhancing positive impacts where possible, and therefore maximizes sustainable development gains. Particular attention is paid to the needs of disadvantaged and vulnerable persons or groups in participating villages, as well as to enhance capacity of staff within the IA and other relevant agencies. Significant remaining residual impacts and related compensation to offset them, are not anticipated, as such sub-projects and investments will need to be re-designed. Relevant ESMF instruments include SESA, eligibility screening/ scoping and SS-ESMP and SRA. Because of the management authority for the PKK NP has been officially handed over from the Ministry of Defence (MoD) to MAF at the beginning of the LLL implementation, the SRA and measures to mitigate the risks identified are no longer relevant to the landscape.

- **ESS-2: Labor and Working Conditions**

**National legislation:** Labor and working conditions are governed by national legislation comprehensively, some of them recently amended or issued. Of particular importance are the amended Labor Law (2013), the amended Law on Hygiene, Disease Prevention and Health Promotion (2011) and the Law on Anti-trafficking (2015), the Law for Preventing and Combating Violence against Women and Children (2014), the Law on Protection of Rights/ Interest of Children (2006) and Decree on OHS (2019), but also by sub-ordinate legislations. They cover comprehensively working conditions and regulating OHS, establish limits for hours of work and overtime, leave entitlements (with special provisions for pregnant women), compulsory social security for employees (according to Social Security Law/ 2013), protecting vulnerable groups of workers, addressing violence against women and children/ protect their rights.

**Gaps and measures to address them:** National regulatory legislation is comprehensive and is significantly consistent with ESS-2. The following weaknesses/ gaps exists: (1) 14 is the minimum working age, but the Labor Law establishes that children of 12 and 13 may be employed for "light work"; (2) national law restricts workers' organizations aside from the Lao Trade Union; and (3) there are no legal provisions in place to avoid forced labor since the country has not ratified the related international conventions. They are addressed by the LMP that requires additional measures to comply with ESS-2 including OHS measure, terms and conditions of employment of project workers, Environmental, Social, Health and Safety Specification (ESHSS) for contracts; Community Labor Management Procedure; and GM for project workers integrated into the GRM of the project.

- **ESS-3: Resource Efficiency and Pollution Prevention and Management**

**National legislation:** Legislation that relate to ESS-3 include Laws such as on Environmental Protection (2012) and on Water/ Water Resources (2017), but also sub-ordinate legislation including the National Pollution Control Standards (NPCS) and the National Environmental Quality Standard (NEQS) and related Decrees, as well as the Decree on Pesticide Management (2017) and ministerial regulation on Control of Pesticides (2010). They include rules and measures to address ES concerns related to pollution prevention (pollution of land, air and water), especially due to intensive use of agro-chemicals (including pesticides), hazardous and none hazardous waste, as well as efficient use of resource. Investors and projects related to all sectors (e.g. industry, agriculture, forestry, energy, mining, and handicraft) are obliged to comply with the NEQS and NPCS.

**Gaps and measures to address them:** ESS-3 will be implemented to apply a precautionary approach complementing the national regulation that ensures sustainable resource uses, avoids/ minimizes pollution manage and prevent pollution including emissions of climate pollutants, as well as the generation of hazardous/ non-hazardous waste. Minor existing gaps are addressed by Standard Waste Management Procedures (SWMP), Pest Management Plans (PMP) and ECOP (for renovation work). All banned agro-chemicals are excluded from being procured/ funded by the project. A list of do's and don'ts helps to minimize littering by project staff within the landscapes.

- **ESS-4: Community Health and Safety**

**National legislation:** Legislation that relate to ESS-4 include Laws such as on Hygiene, Disease Prevention and Health Promotion (2011), Road Traffic (2016), Civil Servants and Officials (2015), but also the Labor Law, the Environmental Protection Law and Chemical Law include relevant provisions. Beside this, sub-ordinate legislation such as Decision on OHS at Construction Sites (2013) exist. They cover and address main concerns related to community health and safety.

**Gaps and measures to address them:** Minor gaps are addressed via CHSP to be developed and implemented to ensure health and safety issue of communities involve in project activity are well taking care of. Codes of Conduct (CoC) will be included in the letter of government staff and team appointment and contracts (for contracted workers). CHS training will also provided for these project personel to raise wareness of the ESS4 requirements and measures to prevent and address CHS risks and impacts. Community Health and Safety Plan and the Gender Based Violence (GBV) Plan provides guidelines on how to address the identification and mitigation measures associated with these issues. Specific guidelines have been provided in terms of Labour Management Procedures and Staff Code of Conduct.

- **ESS-5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement**

**National legislation:** Land acquisition, restrictions on land use and involuntary resettlement related concerns are taken care of by and are specified in legislations such as PM Decree No. 84 (2016) on Compensation and Resettlement of People Affected by Development Projects, Allocation of Land and Occupation Law (2018), and more limited by the amended Land Law (2019).

**Gaps and measures to address them:** This ESS applies to LLL project mainly to manage risks associated with access restriction that may result from conservation and management of PA and PtFA, especially while establishing Total Protected Zones (TPZ). Land acquisition is expected to be very unlikely or very limited, and activities requiring household and village resettlement is ineligible for project financing. Tailored Community Engagement Framework (CEF) incorporating Process Framework (PF), Ethnic Group Development Framework (EGDF) and a Resettlement Policy Framework (RPF) are applied to manage potential risks and impacts from the access restriction, impacts on ethnic groups and land acquisition.

- **ESS-6: Biodiversity Conservation and Sustainable Management of Living Natural Resources.**

**National legislation:** Comprehensive set of legislation exist that relate to ESS-6 include Laws such as on Forestry (amended 2019), the Wildlife and Aquatic Resources (amended 2023), but also in the EPL (2012). Sub-ordinate legislations of major importance include the Decree on CITES (2022), on Protected Areas (amended 2023), different protected area specific Decrees (e.g. for Nakai Nam Theun, Nam Eth Phou Loei, Hin Nam No), Order on Strengthening Strictness of Timber Harvest Management and Inspection, Timber Transport and Business (2016), Order on Strengthening Strictness of Management and Inspection of Prohibited Wild Fauna and Flora (2018), Order on the Prevention of Harvesting and Buying-Selling of Protected Species (2010) and Order on Strengthening Strictness on Managing, Protecting, Developing and Utilizing Forest and Forestland; Preventing and Controlling Forest Fires and Encroachment into Forest and Forestland (2023).

**Gaps and measures to address them:** There are no major gaps and the project's objective is to conserve and protect biodiversity, and sustainably manage other parts of the landscapes. Minor direct or indirect impacts and risks may occur to natural habitats, and biodiversity in context of site-specific sub-projects, or due to increaed presense of project workers/ tourists related to wildlife consumption and sale for example. They will be addressed by design of interventions, but most prominently by ESMF instruments such as eligibility screening, SS-ESMF and S-ESMPs including list of do's and don'ts related to wildlife consumption and trade, which committs project workers/ consultants not to engage in illegal consumption and trade of wildlife and parts. Other

instruments such as PMP may also contribute to minimize negative impacts on biodiversity, in this case on agro-biodiversity.

- **ESS-7: Indigenous People/ Sub-Saharan African, Historically Underserved Traditional Local Communities.**

**National legislation:** The Constitution recognizes the multiethnic nature of the Lao people and guarantees that “all ethnic groups have the right to preserve their own traditions and culture, and those of the Nation; discrimination between ethnic groups is forbidden”. Other legislation that relate to ESS-7 include most prominently the recent Decree on Ethnic Groups (2020), and Guidelines on Consultation with Ethnic Groups affected by Public and Private Development Projects (2013). Other relevant legislation includes the Decree on Code of Conduct for Civil Servants (2019), the amended Land Law (2019) and ministerial instruction on Customary Rights (2007) The definition of ethnic groups in the legal framework is close to the ESF principle of self-identification as members of a cultural group with an identity distinct from the mainstream cultural group.

**Gaps and measures to address them:** The CEF and the incorporated Ethnic Group Development Framework (EGDF) aims to manage risks and minimize adverse impacts on the ethnic groups and to ensure that they are meaningfully consulted and engaged in all main cycles of project activities and that they can benefit from the project investments in a culturally appropriate manner. This is very important for the LLL project, as it will collaborate with 600 villages, and many are composed of various ethnic minority groups (‘Indigenous People). Minor gaps are addressed by the specifications in the CEF and EGDF.

- **ESS-8: Cultural Heritage**

**National legislation:** Legislation that relates to ESS-8 include the Constitution (2015), and in particular the Law on National Heritage (2013). Others are also relevant by including relevant provision, such as the Environmental Protection Law (2012), as well as the Decree on the Preservation of Cultural, Historical and Natural Heritage (1997).

**Gaps and measures to address them:** A Cultural Heritage Framework (CHF) has been developed and provided in the ESMF to be applied by all project staff and workers. The framework includes a list of Dos and Don’ts and the Chance Finds Procedure. The list of Dos and Don’ts will be included in the letter of appointment for staff and contracts for consultants and distributed to other external visitors including tourists

- **ESS-10: Stakeholder Engagement and Information Disclosure**

**National legislation:** Requirements as of ESS-10 are covered by various legislations, especially those on consultation and grievance including the Constitution, the Law on Government (amended 2016), the Law on Handling Petitions (amended 2016), as well a sub-ordinate Decrees such as the amended EIA Decree (2022) and the Compensation and Resettlement Decree (2016), as well as the Public Involvement Guideline (2012) and the Ethnic Group Consultation Guideline (2013)

**Gaps and measures to address them:** A Stakeholder Engagement Plan (SEP) will be applied that also includes a Grievance Redress Mechanism (GRM), which addresses minor gaps. The LMP in this ESMF also describes a specific GRM for workers that contractors must have in place. The GRM must be accessible to all stakeholders, in particular vulnerable and women. The project will involve a range of direct and indirect stakeholders at national and sub-national levels including local communities, DOF, MAF and concerned government agencies, academies, development partners, NGOs and private sector. Information disclosure is required under this standard to ensure that all relevant information such as on risks and impacts are accessible timely and appropriately to affected communities and stakeholders.

Any gaps and discrepancies that are identified between the relevant national legislations and ESSs, the later will be prevailing under the LLL project.

## 4 Potential Risks, Impacts and Mitigation

### 4.1 General

This chapter outlines details of planned activities and investments of the proposed LLL project, and describes related potential negative risks and impacts, as well as introduces to possible mitigation measures.

Environmental and social (ES) risk under LLL project is classified to be Substantial. Potential ES impacts are created by project funded site specific activities and investments within the 547 villages in and adjacent to the five landscapes where about 396.000 multi-ethnic people are dwelling. Such can be caused (1) by field level activities and investments for example buildings, green-infrastructure, forest conservation and livelihood support (mainly activities in component 1 and 2), or (2) by 'soft measures' including training, missions and visits to the priority landscapes and participating communities (as part of all 4 components). Beside this, ES impacts might also be caused due to investments by the private sector into industrial tree plantations and nature-based tourism, which are not or only partially funded by the project.

The Unexploded Ordinance (UXO) and current COVID-19 outbreak, could potentially has an effect associated with project activities.

The LLL project funded activities and investments are expected to result in more positive ES **impacts** due to various livelihood development support, and better managed and protected forest landscapes and related ES benefits. However, some may create spatially and timely limited negative ES impacts. Related to the environment, such may include increased pollution of air, soil and water bodies (e.g. hazardous substances, solid waste, dust), increased soil compaction and erosion, increased run-off, increased loss and decreased fertility of soils, decrease of biodiversity and agro-biodiversity, including wildlife and various non-timber product species. Social impacts may occur due to potential restriction of access and use of land and forest resources as a result of conservation activities implemented in and with participating villages within or adjacent to supported PAs or landscapes where vulnerable and ethnic groups reside and rely on customary land use. The project activities may also pose community health and safety (CHS) risks expected from the project teams and other external visitors and activities including green village-based infrastructure to be implemented in the participating villages.

Key social risks include further impoverishment and livelihood impacts from the above natural disaster such as livelihood opportunities and income lost. The project supports activities and measures that contribute to reduce these risks, such as by creating climate co-benefits due to its climate change mitigation and adaptation efforts including forest restoration and conservation, forest-smart livelihoods, Most Vulnerable Household (MVH) grant and village based green infrastructure. The project will provide support to apply and strengthen strategic assessment for plantation and tourism investments by the private sector, as well as enhance ES resilience, and natural disaster management.

The following outlines the **10 ESS** of the WB's ESF and their **relevance** for the LLL project in accordance to anticipated ES risks and impacts:

- ESS 1 - Assessment and Management of Environmental and Social Risks and Impacts: Fully relevant, as it is obligatory for all WB financed projects. All requirements of this standard have been manifested in the ESMF of the LLL project. DOF will assess, manage and monitor the ES risks and impacts of the project throughout the project life cycle so as to meet the requirements of the relevant ESSs in a manner and within a timeframe acceptable to the Bank.
- ESS 2 - Labour and Working Conditions: Relevant, as people will be employed or engaged directly by the project including appointed staff of the project implementing agencies (direct workers), and contracted builders and service providers (indirect workers), and in the context of providing community labour 'community workers'. A labour management procedure (LMP)

is developed and will be implemented to ensure risks of the workers and their working conditions, their health and safety are taking care of and addressed.

- ESS 3 - Resource Efficiency and Pollution Prevention and Management: Relevant, as the project may involve physical construction and renovation works where, energy, water and other materials maybe sourced for. Project construction activities may induce minor pollutant on air, water and land, and therefore need to be managed properly. Solid waste management measure will be planed and applied to ensure solid waste generated from project activity and personnel are properly managed. Village Livelihood Development Block Grant may finance irrigation system and other agriculture extension activities where pesticide and chemical fertilizer may be applied by project villages to increase their productivity, a pest management plan will be developed and implemented to ensure all banned pesticide and fertilizer are excluded from project finance.
- ESS 4 - Community Health and Safety: Relevant, as villagers will be engaged in forest restoration and management, biodiversity conservation, livelihood activities and maybe in construction civil work which may pose risk and impact on community health and safety related issue. These risks could also be associated with frequent visit by external stakeholders (project personnel, contractor's and service providers). Community Health and Safety Plan is developed and will be implemented to ensure health and safety issue of communities involve in project activity are well taking care of. Codes of Conduct (CoC) will be included in the letter of government staff and team appointment and contracts (for contracted workers) in line with relevant national laws and legislations to be applied under the project. CHS training will also provided for these project personel to raise wareness of the ESS 4 requirements and measures listed above to prevent and address the CHS risks and impacts.
- ESS 5 - Land Acquisition, Restrictions on Land Use, and Involuntary Resettlement: Relevant, this ESS applies mainly to manage risks associated access restrictions, that may result from Forest Land Use Zoning (FLUZ), as well as conservation and management of PA and PtFA, especially while establishing Totally Protected Zones (TPZ) and conservation agreements. Land acquisition is expected to be very unlikely or very limited. Activities requiring household and village resettlement is ineligible for project financing. As the nature and scope of risks and impacts will not be known until the proposed list of participating villages, infrastructure sub-projects and livelihood priorities are determined through the participatory process during the project implementation, Community Engagement Framework (CEF) incorporating Process Framework (PF), Ethnic Group Development Framework (EGDF) and a Resettlement Policy Framework (RPF) is prepared to be applied under the LLL project to manage potential risks and impacts from the access restriction, impacts on ethnic groups and land acquisition.
- ESS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources: Relevant, though project activities are contributed to protection of forest and biodiversity, however, project supported activities maybe directly or indirectly influence on nearby natural habitats, and therefore, produce possible negative risks and impacts which need to be managed appropriately. For example, industrial plantations conducted by a small holders and private sectors may potentially facilitate to encloachment into the forest land area and lead to deforestation. The nature-based tourism could also create an impact on local environment if not having proper management. Agricultural production supported activities such as, land clearance, irrigation development, and agriculture extension could also be managed in such a way it sound to local environment and biodiversity. The management of biodiversity and natural resources will be well intergrated in site-specific ES management plans developed under the ESS 1 for speccific activity.
- ESS 7 - Indigenous Peoples/ Sub-Saharan African Historically Underserved Traditional Local Communities: Relevant, as the participating547 villages in 5 selected landscapes include various ethnic minority groups ('Indigenous People) who may be impacted by the project activities . However, potential adverse risks and impacts on these ethnic groups are expected to be manageable through the project design and inclusive approaches provided in CEF to be deployed by the project. CEF incorporating an Ethnic Group Development Framework (EGDF)

aims to manage risks and minimize adverse impacts on the ethnic groups and to ensure that they are meaningfully consulted and engaged in all main cycles of project activities and that they can benefit from the project investments in a culturally appropriate manner.

- **ESS 8 - Cultural Heritage:** Relevant, as some direct and indirect workers may deliberately or unintentionally become involved in physical cultural resources trafficking such as prohibited Buddha sculptures and religious items and encroach prohibited areas (such as cultural or religious and spiritual sites, graves) respected by the local community during their visit and if necessary stay in the target villages and landscape areas. A Cultural Heritage Framework has been developed and provided in the ESMF to be applied by all project staff and workers. The framework includes a list of Dos and Don'ts and the Chance Finds Procedure. The list of Dos and Don'ts will be included in the letter of appointment for staff and contracts for consultants.
- **ESS 9 - Financial Intermediaries:** Not relevant.
- **ESS 10 - Stakeholder Engagement and Information Disclosure:** Relevant, as the project is expected to involve a range of direct and indirect stakeholders at national and sub-national levels including local communities, DOF, MAF and concerned government agencies, academies, development partners, NGO's and private sector. Information disclosure is required under this standard to ensure that all relevant information such as on risks and impacts are accessible timely and appropriately to affected communities and stakeholders. Details are described in the Stakeholder Engagement Plan (SEP), as well as the Community Engagement Framework (CEF).

## 4.2 Description of Project Details, Investments and Activities

The Project has four components that together help convene and “crowd in” coordinated actions and investments in priority spatially explicit conservation and production landscapes.

**Component 1: Investing in Natural Wealth and Resilience in Forest Landscapes** (US\$31.5 million, of which \$25 million IDA and US\$6.5 million GEF).

The objective of this component is to build natural capital from improved forest landscape management. Building natural capital helps secure multiple economic, environmental, climate, and resilience benefits. Climate and disaster risks such as flood, drought, erosion, and landslide risks be reduced by maintaining and restoring forest cover, combined with promoting soil and water conservation structures, small irrigation, and other natural solutions in targeted sites. Such village-based green infrastructure will also contribute to job creation. Collaborative management in PAs and Village Forest Management in PFAs and PtFAs will be the main governance modalities to implement SFM at the village level. Enabling activities will leverage parallel private sector investment (environmentally and socially sustainable industrial and smallholder tree plantations, tourism development) and other complementary public sector investments.

*Climate co-benefits:* Component 1 will generate the bulk of the project's climate adaptation and mitigation co-benefits, deriving from improved management of the forest landscape including protected areas, production forests, protection forests, and village forests, and the consequent reduced emissions from deforestation and forest degradation, while investing in climate resilience and response mechanisms to shocks such as flood, drought, forest fires, and erosion. The project will generate net emissions reduction of over 10,2 million tons CO<sub>2</sub>equivalent.

Project financing will support public sector interventions organized under two sub-components: a) 1.1 Protected Areas and Nature-based Tourism; and b) 1.2 Sustainable Forestry and Resilient Village Infrastructure.

*Sub-component 1.1: Protected Areas and Nature-based Tourism (US\$ 14.2 million).* The objective of this sub-component is to strengthen management of PAs for biodiversity conservation and tourism opportunities. The sub-component focuses on investing in eight national parks or protected areas with internationally significant biodiversity values and high potential for sustainably developing nature-based tourism, and by doing so, creating direct and indirect jobs and livelihoods opportunities.

Activities include: a) collaborative PA management, b) ranger patrols; c) extension and outreach; d) village forest and land use planning, and e) village conservation agreements which includes a list of livelihood practices that will promote forest wildlife and vegetation conservation, contributing to climate benefits; and f) enabling activities to facilitate private sector participation in nature-based tourism within the targeted protected areas (e.g. support tourism related zoning and marketing, strategy development and action planning), and (g) civil works to upgrade park facilities using climate resilient and energy efficient practices.

*Sub-component 1.2: Sustainable Forestry and Resilient Village Infrastructure (US\$ 17.3 million).* The objective of this sub-component is to strengthen sustainable forest management (SFM) and landscape restoration in production, protection, and village forests. The focus is on supporting job creation, reducing poverty and climate risks, reducing pressure on natural forest, and boosting forest sector productivity for green growth and economic recovery.

Activities include: a) State forest management planning and zoning in selected PFAs and PtFAs; b) village forest and land use planning and zoning in village forests; c) village forest management and restoration, contributing to maintain and increase forest cover and contributing to climate mitigation; d) extension and village advisory services; e) enabling activities for private investment in environmentally and socially sustainable industrial tree plantations (e.g. support the selection of appropriate areas, develop and promote incentive and pilot out-grower schemes); f) research and development for production forestry; and g) green infrastructure for resilient villages, livelihoods and jobs (example: multi-village package of small irrigation plus forest protection, climate-resilient feeder roads, slope stabilization with trees to improve climate-adaptation).

**Component 2: Livelihoods Opportunities from Sustainable Forest Landscapes (US\$9.2 million IDA).**

The objective of this component is to improve forest-smart livelihoods opportunities, vocational skills, and nature-based tourism development in targeted landscapes. This component is closely linked to the natural resource planning and management activities in Component 1 and targets the same villages. There are three sub-components: a) 2.1 Village Livelihood Block Grants to Village Development Funds, b) 2.2 Vocational Training, and skills development c) 2.3 Nature-based Tourism Business Leveraging Facility.

Response to COVID-19 economic impacts: This component will play a pivotal role in boosting the recovery of rural livelihoods in forest areas. The project will use existing government systems to channel funds to forest villages through the VDFs, based on successful models used in other ongoing projects in Lao PDR. Vocational training for locally appropriate market-based activities will provide additional employment opportunities.



Sub-component 2.1: Village Livelihood Block Grants to Village Development Funds (US\$6 million). The objective of this sub-component is to strengthen forest-smart village livelihoods in targeted landscapes.

Activities: The project will finance villages in the three forest categories to select and implement forest-smart livelihood activities. The project will provide funding to Village Development Funds (VDFs) in the form of Village Livelihood Block Grants (VLBGs). VDFs are managed by the villages themselves as revolving mechanisms through a Village Committee, and are provided to households or groups as credits for specific farm activities (e.g. use of high-value crops, livestock raising, intercropping, small irrigation, cultivation of NTFPs) and non-farm income-earning activities (e.g. handicrafts, weaving, energy efficient cook stoves) based on specific criteria and risk management.

Twenty percent of the VLBGs will be earmarked as grants to the most vulnerable members of the participating village (elderly, widows, disabled, single mothers, disaster-affected households, etc.) identified by the Village Committee, for homestead-based livelihoods and disbursed upfront without conditionality. The remaining 80 percent of the VLBG will be conditioned to approval of the village forest and land use plan and, in PAs, a village conservation agreement. Fifty percent of these revolving funds will be earmarked for households where women are signatories to the credit, to strengthen women participation in village institutions and decision-making power on NRM and livelihoods, which helps fill a persistent gender gap.

Sub-component 2.2: Vocational Training, and Skills Development (US\$1 million). The objective of this sub-component is to improve employment and livelihoods opportunities for people in villages supported by the project. Training will be based on local market demand and could include skills for industries active in the target landscapes such as tourism and hospitality; small business management skills; timber-based enterprise skills; non-timber forest products (NTFP) and food processing for value chains, and non-farm skills. To help address gender gaps related to economic opportunities and skills development, the project will have a special focus on encouraging women to participate in the training, and devising courses responding to their vocational interests and job market opportunities. Training will be delivered in the village and through a scholarship system for selected youth, based on agreed criteria including poverty, vulnerability, and interest to attend vocational schools in district or province capitals.

Sub-component 2.3: Nature-based tourism business leveraging facility (US\$2.22 million). The objective of this sub-component is to strengthen development of nature-based tourism by encouraging private sector participation, especially small and medium enterprises (SMEs) in and around PAs. The project will finance the establishment of a nature-based tourism business leveraging facility, to strengthen NBT development and private sector participation by small and medium enterprises. The nature-based tourism business leveraging facility will provide: a) Advisory services to tourism companies on product development, market surveys, etc.; b) Financing for small public infrastructure, marketing, and other aspects of the local enabling environment for tourism development in accordance with private sector investment plans and public destination management plans; and c) Training and capacity building for the management and staff of the applying SME.

**Component 3: Institutions, Incentives, and Information** (US\$8.8 million, of which US\$8.4 million IDA, and US\$0.4 million GEF).

The objective of this component is to strengthen institutions, policies, incentives and information for sustainable forest landscapes. This component will finance governance-related activities via three sub-components: a) 3.1 Strengthening Institutions and Policies for Landscape Management, b) 3.2 Strengthening Institutions and Policies to Reduce Forest and Wildlife Crimes, and c) 3.3 Information for Decision Support. Issues such as policy and regulatory development, institutional capacity building, inter-agency law enforcement coordination for illegal wildlife trade, environmental and social risk management, land and forest tenure, climate change monitoring, and natural capital valuation and impact assessments will be supported by this component.

**Component 4:** Project Management, Monitoring and Learning. (US\$6.8 million, of which US\$6.3 million IDA, and US\$0.5 million GEF).

The objective of this component is to maintain and enhance project management, monitoring and learning. There are two sub-components: a) 4.1 Project Management and Monitoring, and b) 4.2 Strategic Communication, Partnerships and Investment Coordination. Sub-component 4.1 focuses on project management, monitoring, learning and adaptive management. Sub-component 4.2 supports the GoL's strategic communication, resource mobilization, and regional coordination and dialogue on project-related issues. Project location

### 4.3 Potential Environmental Risks and Impacts, and Mitigation

In accordance to WB's classification, environmental risks and impacts may include: (i) those defined by WB's Environmental, Health, and Safety Guideline (EHSG); (ii) those related to community safety (including safe use of pesticides), (iii) those related to climate change and other trans-boundary or global risks and impacts, (iv) any material threat to the protection, conservation, maintenance and restoration of natural habitats and biodiversity; and (v) those related to ecosystem services and the use of living natural resources, such as fisheries and forests. The main potential negative environmental risks and impacts that may occur in the context of the LLL project are summarized in Table 4 below, which are aligned to the components and provide links to sub-components and related activities of the project.

Planned project activities and investments are expected to result in more positive environmental impacts from better-managed forest landscapes and related benefits such as the improved provision of various ecosystem services, especially due to planned activities related to component 1, but also 2 and 3. The project will contribute to climate co-benefits associated with its operations due to climate change mitigation and adaptation efforts such as forest restoration and rehabilitation activities, better conservation and management of protected areas, improved forest-smart livelihoods, and community based green infrastructure. The Table 4 below also includes potential mitigation measures to address anticipated negative environmental risks and impacts.

**Table 4: Potential Negative Environmental Risks and Impacts, and Mitigation**

Anticipated component-specific negative environmental risks and impacts	Potential mitigation measures & ESF instruments
<b>Component 1. Investing in Natural Wealth and Resilience in the Forest Landscape</b>	
<ul style="list-style-type: none"> <li>Activity 1.1: Construction of buildings (offices, ranger stations, boot landings) may result in pollution of air/ soil/ water (e.g. dust, construction/ solid waste) if near water bodies and soil erosion (impacts on fish/ aquatic life).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Proper design, careful selection of appropriate construction sites based on management plan/ PA zoning (at least 50 m away from water bodies, not on steep slopes), apply SS-ESMP (for renovation apply ECoP)</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1.1: More tourists, the presence of project workers/ staff may result in increased pollution (e.g. solid waste) and sale/</li> </ul>	<ul style="list-style-type: none"> <li>➤ Create awareness on pollution/ solid waste especially plastic (reuse/ recycle) and to restrain from buying/ consuming wildlife/</li> </ul>

consumption of wildlife/ products for food/ souvenirs (impacts on biodiversity).	products – health impacts (list of do's & don'ts)
<ul style="list-style-type: none"> <li>Activity 1.1: Establishment of trails in PAs (e.g. for tourism) may impact on natural habitats/ disturb biodiversity.</li> </ul>	<ul style="list-style-type: none"> <li>Careful selection/ delineation based on PA management plan/ zonation (only in tourism zone)</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1.1: Involvement of Lao Military in PKK NPA (impacts on biodiversity, including natural habitats and wildlife due to poaching, consumption and sale of wildlife, illegal logging).</li> </ul>	<ul style="list-style-type: none"> <li>Involvement in patrolling/ training of army personnel, awareness creation, strengthen cooperation/ setting up a working group; list of do's and don'ts</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1.2: Production of seedlings for forest restoration/ nurseries: may result in pollution of soil/ water due to the use of pesticides/ insecticides and solid waste.</li> </ul>	<ul style="list-style-type: none"> <li>Careful selection of appropriate nursery sites (at least 50 m away from water bodies, not on steep slopes), apply IPM/ PMP and SS-ESMP</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1.2: Establishment of private sector funded industrial plantations may restrict land access and drive local people to engage in activities that result in deforestation elsewhere.</li> </ul>	<ul style="list-style-type: none"> <li>SESA, development of technical guidelines for the establishment of private sector plantation</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1.2: Forest restoration activities including establishing feeder/ access roads may result in soil erosion/ nutrient depletion and related pollution of water.</li> </ul>	<ul style="list-style-type: none"> <li>Forest restoration sites, feeder/ access roads to be carefully selected based on PFA management plan/ zoning (not in HCVF zone, none-forest, avoid steep slopes, at least 50 m away from water bodies); use of appropriate tree species/ nitrogen fixing, spacing, management scheme; SS-ESMP</li> </ul>
<b>Component 2. Livelihoods Opportunities from Sustainable Forest Landscapes</b>	
<ul style="list-style-type: none"> <li>Activities 2.1/2.3: Construction of buildings/ infrastructure (e.g. green community infrastructure/ public tourism) may result in pollution/ solid waste of soil/ water (impact on biodiversity/ aquatic life).</li> </ul>	<ul style="list-style-type: none"> <li>Proper design, careful selection of appropriate construction sites based on participatory planning results and management plans/ zoning (at least 50 m away from water bodies, not on steep slopes), apply SS-ESMP (for renovation work ECoP)</li> </ul>
<ul style="list-style-type: none"> <li>Activity 2.1: New small irrigation schemes may result in the overuse of water resources, lead to reduced water quantity/ availability (impact on aquatic life).</li> </ul>	<ul style="list-style-type: none"> <li>Careful selection of appropriate sites with sufficient water flow/ water availability based on participatory planning and results of rapid water flow/ availability assessment</li> </ul>
<ul style="list-style-type: none"> <li>Activity 2.1: Harvesting of NTFPs (bamboo shoot, rattan, mushroom etc.) may result in overuse of certain NTFPs, encroaching into natural habitats/ disturb wildlife (impact biodiversity/ natural habitats).</li> </ul>	<ul style="list-style-type: none"> <li>Harvesting of NTFPs based on management plans (inventory/ monitoring), selection of NTFP management areas based on land use plans/ management plans for PFAs/ PAs (not in HCV areas/ TPZ/ tourism zones)</li> </ul>
<ul style="list-style-type: none"> <li>Activity 2.1: Site-based processing of NTFPs may result in pollution of soil/ water due to the use of chemicals (impact fish/ aquatic life).</li> </ul>	<ul style="list-style-type: none"> <li>Careful selection of processing site (at least 50 m away from water bodies), collect/ dispose of wastewater/ sewage properly, use only legal chemicals/ substances</li> </ul>
<ul style="list-style-type: none"> <li>Activity 2.1: Agricultural activities such as banana/ orange plantations may result in pollution of soil/ water due to the use of agro-chemicals (pesticides/ insecticides/ fertilizer)/ solid waste, soil erosion due to exposed soils, encroachments into PAs/ deforestation, and forest degradation (impact on biodiversity/ habitats/ climate).</li> </ul>	<ul style="list-style-type: none"> <li>Areas to be carefully selected based on results of land use planning, and PFA/ PA management plans/ zoning (not in HCVF zone, none-forest, avoid steep slopes, at least 50 m away from water bodies); appropriate spacing/ soil stabilization, maintain forested buffer strips along rivers/ water ways; apply IPM/ PMP, use only legal agro-chemicals</li> </ul>

<ul style="list-style-type: none"> <li>• Activity 2.1: Increase of large livestock (e.g. cattle) may result in increased emissions of Methane gas (impact on climate).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Limit the support to large livestock, such as cattle per village/ landscape; promote other livestock</li> </ul>
<ul style="list-style-type: none"> <li>• Activities 2.1/ 2.3: The presence of project staff/ experts may result in increased solid waste (e.g littering) and consumption of wildlife/ products (impact on biodiversity).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Create awareness on pollution/ solid waste especially plastic (reuse/ recycle), and to restrain from buying/ consuming wildlife/ products – health impacts (do's &amp; don'ts, CoCs)</li> </ul>
<b>Component 3. Institutions, Incentives, and Information</b>	
<ul style="list-style-type: none"> <li>• Activity 3.1: Construction of national PA training center may result in increased pollution of air/ water (e.g. dust, construction/ solid waste) if near water bodies and soil erosion (impacts on fish/ aquatic life).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Proper design, careful selection of appropriate construction site based on PA management plan/ zoning (at least 50 m away from water bodies, not on steep slopes), apply SS-ESMP, waste management procedure/ simple WMP</li> </ul>
<ul style="list-style-type: none"> <li>• Activities 3.1/ 3.2: The presence of project workers/ staff may result in pollution (solid waste) and consumption of wildlife/ products (impacts on biodiversity).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Create awareness on pollution/ solid waste especially plastic (reuse/ recycle), and to restrain from buying/ consuming wildlife/ products – health impacts (do's &amp; don'ts, CoCs)</li> </ul>
<b>Component 4. Project Management, Monitoring and Learning</b>	
<ul style="list-style-type: none"> <li>• All activities: Presence of project staff (PIU/ PCU)/ experts may result in increased solid waste (e.g littering) and consumption of wildlife/ products.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Create awareness on pollution/ solid waste especially plastic (reuse/ recycle), and to restrain from buying/ consuming wildlife/ products – health impacts (do's &amp; don'ts)</li> </ul>

In case that identified adverse environmental risks and impacts related to sub-project and investment cannot be avoided, specific measures will be explored, detailed and agreed to minimize them in the context of developing site specific Environmental and Social Management Plans (SS-ESMP). This is explained in more detail in Chapter 5.5, and selected good practices to address environmental risks and impacts are provided in Annex 6.

#### 4.4 Potential Social Risks and Impacts, and Mitigation

The main potential negative social risks and impacts that may occur in the context of the LLL project are mainly related to restriction of access to forest land and natural resources in the 5 landscapes which are home to an estimated 400,000 people of multi-ethnic groups in 547 villages. These are summarized in Table 5 below, including links to planned sub-components and activities of the project.

Generally, planned project activities and investments are expected to result in more positive social impacts including livelihood development outcomes and related benefits, due to activities and investments under components 1 and 2. Village Livelihood Development Grant (VLDG) will finance a range of conservation-oriented livelihood opportunities to be identified through participatory planning processes in the villages as described in the Community Engagement Framework (CEF) prepared as a standalone documents linkable to this ESMF. CEF incorporates the process framework, resettlement policy framework and ethnic group development framework into single document. 20% of the VLBG will be earmarked as grants to the 10 most vulnerable households (MVHs), which are identified by the villages themselves through a community targeting criteria and exercise. The grant for MVHs will give special consideration to those households and individuals whose livelihood and incomes are impacted by the ongoing COVID-19 outbreak. This portion of grants will be disbursed upfront as soon as the village are selected

and the community targeting is completed, while the remaining 80% will be disbursed after the forest and land use planning and village livelihood development planning (component 1) is completed. 50 percent of the remaining VLBG (US\$ 4,000 per village) will be reserved for households with a female member as signatory

As a result of forest and land use planning and village livelihood planning, a Community Action Plan (CAP) or Village Action Plan (VAP) is prepared and approved by the project. Based on CAP, VLBG will be disbursed to and implemented by the recipient village or groups with priority given to those households who are severely and directly affected by the project due to access restriction. CAP outlines a) village profile, forest smart livelihood priorities identified by the village and groups with common interest, targets, implementation arrangement, timeframe and resources required to implement the livelihood activities. Since CAP is developed through the inclusive process of village planning, and meaningful consultation and Free, Prior, Informed Consent (FPIC), the village plan serves as an instrument for addressing risks and impacts of access restriction and ethnic group development plan (where required) to minimize adverse impacts on ethnic groups (IPs).

Other social risks and impacts including community health and safety worker health and safety issues and impacts on cultural heritage will be managed and addressed through specific instruments provided in annexes this ESMF. These include Labor Management Procedures (LMP), Community Health and Safety Plan (CHSP), Code of Conduct (CoC) and Cultural Heritage Framework.

Besides this, various conservation measures, including tourisms, as well as the support to skill development and vocational education as well as job opportunities create additional positive social impacts and benefits for the inhabitants of project-supported villages, including vulnerable groups and women. Component 2 also plays a critical role in mitigating social risks and impacts due to COVID 19. Potentially negative social risks and impacts as identified in Table 5 below can be avoided and mitigated in various ways. Potential mitigation measures are also summarized in the Table 5 below.

**Table 5: Potential Negative Social Risks and Impacts, and Mitigation**

Anticipated component-specific negative social risks and impacts	Potential mitigation measures, instruments & tools
<b>Component 1. Investing in Natural Wealth and Resilience in the Forest Landscape</b>	
<ul style="list-style-type: none"> <li>• Activity 1.1: Construction of buildings (e.g. offices, ranger stations) may require minor or temporary land acquisition, may result in work-related accidents, exposure to hazardous substances/ pollutants such as noise, dust (CHS/ LWC risks), and chance finds (impact on cultural heritage).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Screening to identify social risk and impact associated with land acquisition and resettlement. Activities requiring resettlement is ineligible for project financing. Avoid or minimize land acquisition. If unavoidable, prepare ARAP for land compensation to be implemented by the project activity based on RPF; ensure health/ safety of workers by following the LMP and in case of encountering artifacts follow procedures based on CHF</li> </ul>
<ul style="list-style-type: none"> <li>• Activity: 1.1: Increased tourists and the presence of project workers/ staff may result in increased Sexual Transmitted Diseases (STD), Sexual Exploitation and Abuse (SEA), Gender-Based Violence (GBV) and Violence Against Children (VAC), as well as</li> </ul>	<ul style="list-style-type: none"> <li>➤ Create awareness/ educate tourists and project workers/ staff via leaflets/ flyers and training on STD, SEA, GBV, and VAC, follow procedures/ CoC on GBV/ VAC and CHSP</li> </ul>

Anticipated component-specific negative social risks and impacts	Potential mitigation measures, instruments & tools
disturbance to daily life and privacy (both mental and physical).	
<ul style="list-style-type: none"> <li>Activities 1.1/1.2: Land use planning and delineation/ demarcation of PA boundaries including the establishment of TPZ may result in restricted access to land and its use by villagers (impact on indigenous people livelihood, especially vulnerable).</li> </ul>	<ul style="list-style-type: none"> <li>Careful and participatory process of delineating TPZ (using high-resolution satellite images/ consultations in villages)/ exclude land used by communities, link village land use planning with TPZ delineation; apply ARF in CEF</li> </ul>
<ul style="list-style-type: none"> <li>Activities 1.1/1.2: Revenues from PSFM/VFM/ tourism may not be shared equally/ fair in villages (impact on livelihoods of invulnerable groups including ethnic people and women).</li> </ul>	<ul style="list-style-type: none"> <li>Develop/ establish clear benefit sharing arrangements/ regulations also benefiting vulnerable/ women, include them into conservation agreements/ VFMPs, EGDF</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1.2: Nursery, forest restoration, and rehabilitation operations may result in work-related accidents, exposing local community and hired/ project workers to hazardous substances/ pollutants (impact on CHS and labours a working condition issues) and chance finds (impact on cultural heritage).</li> </ul>	<ul style="list-style-type: none"> <li>Minimize application of hazardous substances (use only legal ones); ensure health/ safety of workers by following the LMP and in case of encountering artifacts follow procedures based on CHF</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1.2: Construction of green infrastructure for resilient villages to support livelihoods and jobs (multi-village package of small irrigation plus forest protection, climate-resilient feeder roads, slope stabilization with trees to improve climate-adaptation) may require insignificant or temporary land acquisition, generate workers and community health and safety risks associated with the civil works.</li> </ul>	<ul style="list-style-type: none"> <li>Screening to identify if household and village physical displacement and land acquisition would be required. Activity requiring resettlement shall be dropped. If required, ARAP will be prepared and completed prior to commencement of the project activity or work.</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1.2: Forest restoration and rehabilitation may result in restricted access to land and its use by villagers (impact on indigenous people livelihood, especially disadvantaged/ vulnerable).</li> </ul>	<ul style="list-style-type: none"> <li>Careful and participatory process of selecting reforestation/ forest rehabilitation sites (using high-resolution satellite images/ consultations in villages); apply ARF in CEF</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1.1: Involvement of military into the management of PKK NPA (impacts on CHS, traffic and road safety concerns, exposure to hazardous materials).</li> </ul>	<ul style="list-style-type: none"> <li>Security risk assessment and training/ awareness on CHS for military personal, enhance cooperation/ set up a working group; CoC</li> </ul>
<b>Component 2. Livelihoods Opportunities from Sustainable Forest Landscapes</b>	
<ul style="list-style-type: none"> <li>Activities 1.1/1.2: Forest smart livelihood activities and increased engagement in conservation and landscape management activities supported by the project may result in increased burden on the participating households, and therefore may result in further impoverishing them especially the vulnerable and ethnic households, women who often carry out most of day-to-day livelihood activities.</li> </ul>	<ul style="list-style-type: none"> <li>CAP will be jointly prepared and implemented by villages through the inclusive process of village planning, meaningful consultation and FPIC with concerns and needs identified by the vulnerable and ethnic groups to be incorporated and addressed.</li> </ul>
<ul style="list-style-type: none"> <li>Activity 2.1: Site-based processing of NTFPs, cultivation of cash crops (e.g. banana/ oranges) may result in the exposure of project</li> </ul>	<ul style="list-style-type: none"> <li>Minimize application of hazardous substances (use only legal ones); ensure health/ safety of workers by following the LMP/ CHSP</li> </ul>

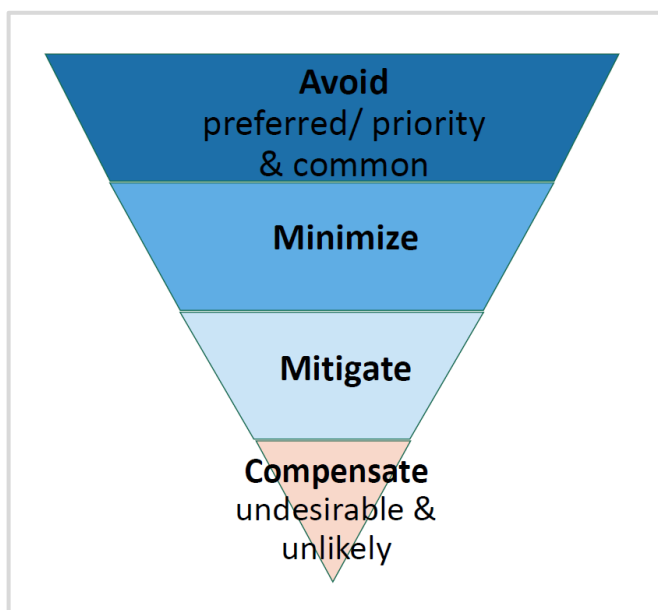
Anticipated component-specific negative social risks and impacts	Potential mitigation measures, instruments & tools
workers to hazardous substances/ chemicals (impacts CHS).	
<ul style="list-style-type: none"> <li>Activity 2.1: Funds provided via VLBGs may not be shared equally/ fair in villages (impact on livelihoods of indigenous people, especially disadvantaged/ vulnerable).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Develop/ establish clear regulations on the use/ eligibility of funds by community members including vulnerable/ women, follow EGDF</li> </ul>
<ul style="list-style-type: none"> <li>Activity 2.2: The inclusion of villagers into vocational training may expose them to STD, SEA, GBV and VAC; the presence of project staff/ experts may result in increased STD, SEA, GBV and VAC (impacts CHS).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Create awareness/ educate villagers who attend and project staff on STD, SEA, GBV and VAC, follow procedures/ CoC on GBV/ VAC and CHSP, Code of Conducts</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1/2: Difficulty in communication in Lao language (let alone English language) and lack of confidence may prevent or discourage some vulnerable and ethnic people to participate and benefit from vocation training courses.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Vocational training program will be tailored to suit the needs and capacity of the target groups and conducted with support from local interpreter or LFND or LWU as required. IEC materials may be developed and employed to help improve their understanding.</li> </ul>
<b>Component 3. Institutions, Incentives, and Information</b>	
<ul style="list-style-type: none"> <li>Activity 3.1: Construction of national PA training center within PKK NPA may result in exposure to pollutants such as dust, noise (impact LWC).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Ensure the health/ safety of workers by following the LMP;</li> <li>➤ Develop site specific ESMP or ECOP and CHSP to be applied by the subproject.</li> </ul>
<ul style="list-style-type: none"> <li>Activity 3.1/3.2: The presence of project staff/ experts may result in increased STD, SEA, GBV and VAC (impacts CHS).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Create awareness/ educate project staff/ experts on STD, SEA, GBV and VAC, follow procedures/ CoC on GBV/ VAC</li> </ul>
<ul style="list-style-type: none"> <li>Activity 1.1: Law enforcement activities may result in human rights violations (impacts indigenous people).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Create awareness/ train law enforcement personnel in human rights concerns</li> </ul>
<b>Component 4. Project Management, Monitoring, and Learning</b>	
<ul style="list-style-type: none"> <li>Activity 4.1: Rehabilitate offices for PCU/ PIU may result in exposure to pollutants such as dust, noise (impact on LWC).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Ensure the health/ safety of workers by following the LMP</li> </ul>
<ul style="list-style-type: none"> <li>Activity 4.1: The presence of project staff (PCU/ PIU)/ experts may result in increased STD, SEA, GBV and VAC, as well as potential road accidents including health safety risks due to the use of non-project vehicles.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Create awareness/ educate project staff/ consultants on STD, SEA, GBV and VAC, follow procedures/ CoC on GBV/ VAC</li> <li>➤ In case of using non-project vehicles, specific safety requirements are ensured (e.g. vehicles are in good conditions/ regularly inspected, have valid insurance and safety equipment, drivers have valid licenses). In case of using the project's motorbikes, all users need to wear helmets and observe the relevant ESS2 requirements and national road safety and traffic regulations.</li> </ul>

In case that identified negative social risks and impacts related to sub-project and investment cannot be avoided, specific measures will be explored, detailed and agreed to minimize and mitigate them in the context of site specific Environmental and Social Management Plans (SS-ESMP). This is explained in more detail in Chapter 5.5 and selected good practices are outlined in Annex 5.

## 5 Environmental and Social Framework Processes and Instruments

### 5.1 Introduction

The project will use a structured approach to environmental and social management that follows the **mitigation hierarchy** of avoidance, minimizing, and mitigating potential negative risks and impacts, as well as enhancing positive impacts where possible, and therefore maximize sustainable development gains. By applying the mitigation hierarchy, the LLL project will (a) anticipate and avoid risks and impacts; (b) where avoidance is not possible, minimize or reduce risks and impacts to acceptable levels, (c) once risks and impacts have been minimized or reduced, remaining impacts will be mitigated. Significant remaining residual impacts and related compensation to offset them, will not be relevant in the context of the LLL project, as such sub-projects and investments will need to be re-designed.



**Figure 2: Mitigation Hierarchy**

Environmental and social risks and impacts in the context of the LLL project will be managed and addressed with (a) the ESF instruments described in the ESMF, (b) dedicated budget for impact and risk management, and (c) effective sub-project and investment design.

This chapter describes all relevant ESF processes and instruments, that are applied in the context of the LLL project. The focus has been placed on site-specific sub-projects and investments, but others such as Standardized Environmental and Social Management Plan (S-ESMP), strategic (SESA) and security assessments (SRA) were also included. Because of the management authority for the PKK NP has been officially handed over from the Ministry of Defence (MoD) to MAF at the beginning of the LLL implementation and the army is no longer involved, the SRA and measures to mitigate the risks associated with army involvement are no longer relevant to the landscape.

The entire process including different steps required for site specific sub-projects and investments includes eligibility screening, scoping and assessment, ES management planning, implementation and monitoring, inspection and reporting. It is visualized in the Table 6 below.

**Table 6: ES Process – Site-specific Sub-projects and Investments**

Steps	Results and follow up	Tools
<b>Step 1: Eligibility screening</b>		
<ul style="list-style-type: none"> <li>Determine if the sub-project/ investment is eligible by comparing it to none eligible items</li> </ul>	<ul style="list-style-type: none"> <li>➤ Case 1: No match has been determined (pass to step 2)</li> <li>➤ Case 2: One or more matches with none eligible items (discard or return the proposal to be refined/ remove them and re-submit)</li> </ul>	<ul style="list-style-type: none"> <li>✓ 'Negative list' (Annex 2)</li> </ul>
<b>Step 2: Scoping of risks/ impacts</b>		
<ul style="list-style-type: none"> <li>Determine if at all and what kind of potential sub-project specific</li> </ul>	<ul style="list-style-type: none"> <li>➤ Case 1: No potential adverse risks/ impacts were detected (attach filled/ signed scoping matrix to sub-project)</li> </ul>	<ul style="list-style-type: none"> <li>✓ 'Scoping matrix' (Annex 3)</li> </ul>



Steps	Results and follow up	Tools
ES risks/ impacts/ issues may occur if the sub-project/ investment will be implemented	proposal and submit for approval) ➤ Case 2: Potential adverse ES risks/ impacts were detected (pass it to step 3)	
<b>Step 3: SS-ESMP<sup>5</sup></b>		
<b>Risk and impact assessment</b>		
<ul style="list-style-type: none"> <li>Identify details and magnitude of sub-project specific potential adverse ES impacts and risks</li> <li>Classify sub-projects/ investment proposals into risk/ impact categories</li> </ul>	<ul style="list-style-type: none"> <li>➤ Case 1: Apply Annex 5, signed matrix/ continue with step 4)</li> <li>➤ Case 2: 'Sub-project require EIA' (discard)</li> </ul>	<ul style="list-style-type: none"> <li>✓ 'Assessment matrix' (Annex 5)</li> <li>✓ Category description (Chapter 5.4)</li> </ul>
<b>Step 4: SS-ESMP</b>		
<b>Planning and implementation</b>		
<ul style="list-style-type: none"> <li>Identify, decide and plan measures to avoid/ mitigate identified ES risks/ impacts based on sub-project specific/ investment assessment matrix</li> <li>Prepare SS ESMF, apply other safeguard tool/ instruments as needed</li> <li>Implement mitigation measures according to approved SS ESMP</li> </ul>	<ul style="list-style-type: none"> <li>➤ Site-specific ESMPs to be attached to sub-project/ investment proposals to be approved</li> </ul>	<ul style="list-style-type: none"> <li>✓ 'SS ESMP format' (Annex 5)</li> <li>✓ Formats related to other instruments (Annex 8-17)</li> </ul>
<b>Step 5: SS-ESMP</b>		
<b>Compliance monitoring</b>		
<ul style="list-style-type: none"> <li>Monitor the compliance with mitigation measures as agreed in the ESMP, as well as risks/ impacts (known, unexpected) periodically</li> </ul>	<ul style="list-style-type: none"> <li>➤ Case (1): Mitigation measures were implemented as agreed</li> <li>➤ Case (2): Deviations from agreed mitigation measures (measures to be re-enforced)</li> <li>➤ Case (3): unexpected risk/ impacts identified (revise ESMP to address them)</li> </ul>	<ul style="list-style-type: none"> <li>✓ 'Monitoring form' (Annex 5),</li> </ul>
<b>Step 6: Inspection and reporting</b>		
<ul style="list-style-type: none"> <li>Inspect ES compliance periodically and on demand;</li> <li>Report monitoring results quarterly</li> </ul>	<ul style="list-style-type: none"> <li>➤ Case (1): Inspection does not detect deviations from ES compliance (business as usual)</li> <li>➤ Case (2): Inspection has detected deviations from ES compliance (report to PCU, decide/ implement corrective action)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Inspection format (Annex 7)</li> <li>✓ Reporting format (Annex 7)</li> </ul>

Prior to the application of ES instruments for site-specific sub-projects and investments, 'eligibility screening' (based on the 'negative checklist', see Annex 2) and subsequent 'scoping of ES risks and impacts' (see Annex 3) need to take place in responsibility of ES focal points, especially at district level, whereby support by central level ES focal points and TA is provided.

- **Eligibility screening:** Includes the screening of all sub-projects/ investments by using a list of noneligible items (the so-called 'negative list'), which is provided in Annex 2. This is undertaken

<sup>5</sup> For access road sub-projects IEE is required and will be applied in accordance to the updated EIA Decree (2022) and WB ESF requirements (step 3 and 4).

to evaluate if a sub-project or investment is likely to be in breach of one or more of a core set of WBs prohibited activities. It therefore helps to answer the following question: Is the sub-project/ activity eligible for funding? In case that one or more items of the 'negative list' is/ are detected in sub-project/ investment proposals, the proposal needs to be rejected. It is possible to re-submit the proposal after this/ these item (s) were removed and the proposal was refined/ re-submitted. In case the eligibility screening of a sub-project, activity/ investment does not result in a match, the proposal can pass to 'scoping of risks/ impacts'.

- 'Scoping of ES risks and impacts': This determines if the proposed sub-project/ investment may create any negative environmental and/ or social risks and impacts, and it determines what kind of risks and impacts may occur. It helps to answer the following questions: Does the sub-project/ investment create any adverse impacts? What kind of risks/ impacts are likely? The scoping exercise will be guided by the 'scoping matrix' provided in Annex 3. The application of this matrix can result in case (1): the sub-project/ investment does not cause any negative ES risk and impacts. In this case, the proposal can be submitted to be approved. In case (2) potential negative environmental and/ or social risks and impacts were detected. In this case, a SS-ESMP needs to be developed<sup>6</sup>.

The ESF **instruments** that are applied in the context of LLL project to address potential negative ES risks and impacts include (reference to related sub-chapter and ESS):

- Strategic Environmental and Social Assessment (Sub-chapter 5.2, ESS 1)
- Security Risk Assessment (Sub-chapter 5.3, ESS 4)
- Standardized Environmental and Social Management Plan (Sub-chapter 5.4; ESS 1)
- Site-specific Environmental and Social Management Plan (Sub-chapter 5.5; ESS 1)
- Environmental Code of Practice (Sub-chapter 5.6; ESS 3)
- Pest Management Plan (Sub-chapter 5.7; ESS 3/ 6)
- List of Do's and Don't's Wildlife Trade and Consumption (Sub-chapter 5.8; ESS 6)
- Standard Waste Management Procedure (Sub-chapter 5.9/ ESS 3)
- UXO Safety and Clearance (Sub-chapter 5.10; ESS 4)

In addition, the following instruments are applied to address potential negative social risks and impacts:

- Labor Management Procedures (Sub-chapter 5.11; ESS 2)
- Incident Reporting and Response Procedure (Sub-chapter 5.12; ESS 2)
- Community Health and Safety Plan (Sub-chapter 5.13; ESS 4)
- Cultural Heritage Framework (Sub-chapter 5.14; ESS 8)
- COVID-19 Response (Sub-chapter 5.15; ESS 4)
- Gender-based Violence and Violence Against Children (Sub-chapter 5.16; ESS 4)
- Ethnic Group Development Framework (Sub-chapter 5.17; ESS 7)
- Access Restriction and Resettlement Policy Framework (Sub-chapter 5.18; ESS 5)

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<sup>6</sup> SS-ESMP applies to the majority of the sub-projects, including protected area infrastructure (e.g. construction of headquarters and ranger stations) and green village infrastructure (e.g. upgrading of irrigation schemes, water protection measures), however for access road sub-projects IEE is required and will be applied in accordance to the updated EIA Decree (2022) and WB ESF requirements.

## 5.2 Strategic Environmental and Social Assessment

Strategic Environmental and Social Assessment (SESA) is a systematic examination of environmental and social risks and impacts, and issues, associated with a policy, a plan, or a program, typically at the national level but also in smaller areas. SESA are typically not location/site specific, but is an analytical and participatory approach that aims to integrate environmental considerations into policies, plans, and programs and at the same time evaluates linkages with socio-economic considerations. It can evaluate existing policies, plans, and programs, or provide inputs into developing them so that environmental issues can be addressed appropriately, and therefore safeguards sustainable development. It ideally takes place at an early stage in strategic planning, and places emphasis on balancing environmental and socio-economic objectives and includes the identification of sustainable development outcomes at the macro-level. In case such policies and programs are financed and/ or supported by the WB, the examination of environmental and social risks and impacts will include consideration of the full range of environmental and social risks and impacts incorporated in ESS1 through 10.

In Lao PDR, strategic assessment has been established with and regulated by the revised EPL issued in 2012, which describes principles, regulations, and measures for managing, monitoring, restoring, and protecting the environment in order to ensure environmental quality, reduce impacts and pollution. The Strategic Environmental Assessment (SEA) is a key activity and specified in detail especially in Article 19. Pursuant to the EPL, the Decision on SEA No. 0483/MoNRE has been issued on 06. February 2017. It defines the principles and process of SEA for line sectors and local authorities to integrate environmental works into the development or review of sector-specific policies, strategies, and programs aiming to avoid or mitigate impacts on the environment and to contribute to the socio-economic development towards the green and sustainable goals. In accordance to this Decision, it should be based on the following **objectives**:

- To ensure that sector-specific policies, strategies, and programs developed by line sectors and local authorities are coherent with national socio-economic development goals, and to national environmental protection plans and objectives;
- To ensure that the managerial system and implementation of policies and plans are coherent to avoid gaps that may lead to environmental impacts;
- To assure the active participation and engagement of line sectors and local authorities including people who may be affected by the development and implementation of policies, strategies, and programs.
- To ensure that the development of sector-specific policies, strategies, and programs by line sectors and local authorities are in conjunction with SEA.

Strategic assessment has been applied in different contexts in Lao PDR already, such as in the mining and hydropower sector, but also more recently related to climate mitigation efforts (e.g. Emission Reduction Program/ REDD+). Related experiences might be helpful and could inform related developments in the context of the LLL project.

In the context of the LLL project (ESS 1), SESA will be applied to relevant strategies (e.g. green growth strategy, forestry strategy update, other sector specific strategies such as related to plantations and tourism) and plans (e.g. forestry sector plans in context of socio-economic development planning) that may affect the five priority landscapes. The objectives would include to assess potential negative ES risks and impacts of various development interventions including industrial plantations and nature-based tourism, explore different scenarios and appropriate mitigation measures, and ultimately ensure environmentally sound and socially beneficial developments within the five priority landscapes, and beyond. This relates to sub-component 1.2 (especially 1.2.5 'enabling activities for private investments in environmentally and socially sustainable industrial tree plantation') and 2.3 ('nature-based tourism'), whereby the project will

not finance the plantations or related investments, and only match-fund tourism-related investments.

According to the SEA No. 0483/ MoNRE, the sector will carry out SESA and MONRE will review and approve the SESA report. In this context, with the support of project team, Technical Assistance (TA) will be recruited under DOF in cooperation with MONRE to help forestry and tourism sectors to carry out SESA for the industrial tree plantation and nature-based tourism activities during the first year of project implementation, MONRE will then review and approve the report. Finding and recommendation will be provided to the sectors for management of ongoing and future private investment in the industrial tree plantation and nature-based tourism.

To strengthen this instrument the project will enhance related policies, regulations, and capacities especially within MoNRE, which relates to Activity 3.3.1 'support to the implementation of the policy framework for Strategic Environmental Assessment'. Beside this, the project intends to enhance the enabling environment for industrial plantations and village forestry for which strategic assessments are required, which relates to Activity 3.1.5 'enhance the policy framework for environmentally and socially sustainable forest plantations'.

The overall responsibility for ESF compliance is with MAF, the implementing agency of the LLL project in close cooperation with MoNRE and other Ministries. The responsibility to conduct SESA depends on the nature of the strategy or plan to be assessed, which is the ministry in charge of developing the particular strategy or plan. The SESA report can be certified technically by MoNRE after all relevant stakeholders have been consulted, it has been disclosed appropriately and was reviewed by an expert council. More procedural and technical details about SESA are described in Annex 1, to guide SESA application in the context of the LLL project.

### **5.3 Security Risk Assessment**

A Security Risk Assessment (SRA) was conducted during project preparation to identify potential risks and impacts that may be associated with the involvement of the Army of Lao PDR in project implementation, or being a stakeholder of the project, especially in the Phou Khoa Khouay National Protected Area (NKK-NPA) as per ESS 4 requirements. SRA also provides a risk management framework to ensure that "the safeguarding of personnel and property including land and natural resources is carried out in a manner that avoids or minimizes risks and adverse impacts on the project-affected communities" and reputational risk to the Bank, GoL and the project itself (ESS4). The assessment involved desk review of relevant legal and institutional framework, NPA study report, visit to 8 local villages in 3 districts covered by or adjacent to PKK-NPA and focus group discussions with representatives of communities, DAFOs and the army.

Initial findings of SRA suggest that community health and safety risks of the army involvement in forest management and conservation in the PKK-NPA are low. No cases associated with military officers including violence, GBV and VAC have ever been reported in the area visited. On the other hand, a participatory ranking exercise conducted at community level on the environmental risks and impacts of the army involvement in PKK-NPA revealed very high impacts on forest, biodiversity and wildlife in the NKK-NPA largely due to the lack of resources (budget and insufficiency of military personnel), the lack of regular patrolling of forestry and biodiversity rich hotspots and low capacity to enforce the law.

A risk management framework is proposed in the SRA report including a) training on the LLL project and ESS 1 and ESS 4 requirements to avoid and manage risks, b) law enforcement with resources to be deployed to support strengthening coordination with the army and collaborative management of the forest and natural resources, and c) setting up a working group comprised of military personnel, district stakeholders and Village Forest Committee to manage and mitigate illegal logging, deforestation and other activities detrimental to the environment in the PKK-NPA. Further information is provided in the separate SRA report. Because of the management authority for the PKK NP has been officially handed over from the Ministry of Defence (MoD) to MAF at the beginning of the LLL implementation, the SRA and measures to mitigate the risks associated with army involvement are no longer relevant to the landscape.

#### 5.4 Standardized Environmental and Social Management Plan

The Standardized Environmental and Social Management Plan (S-ESMP) identifies potential adverse and non-site-specific ES risks and impacts of initial project activities within the 5 LLL landscapes, as well as identifies and describes appropriate and standardized tools and measures to manage and mitigate them.

Initial activities addressed by S-ESMP's include for example visits by project staff, volunteers and consultants for meetings, community consultations and Free Prior Informed Consent (FPIC), forest and land use zoning, participatory action planning, training, as well as monitoring and supervision. It also addresses field activities such as biodiversity surveys and forest inventories, boundary demarcation, patrolling and law enforcement, fire control/ management, research, outreach, extension, vocational education and community engagement. ES risks and impacts that are avoided and mitigated by S-ESMPs include for example environmental pollution due to littering, illegal consumption and trade of wildlife, spreading of communicable diseases, accidents, Gender Based Violence (GBV) and Sexual Exploitation and Abuse (SEA).

The development of S-ESMPs includes 'eligibility screening' of initial activities, as well as screening of non-site specific ES risks/ impacts. Based on this, standardized tools and measures are selected to avoid and mitigate them appropriately, which is documented in the ESMP matrix that also includes responsibilities, timing and budget. All relevant procedures and applied instruments are briefly described in S-ESMPs and all required formats are attached, so that it is functioning also as a reference and information source and provides guidance for ES focal points and other relevant project staff.

Central level ES focal points facilitate the formulation of S-ESMPs, in close cooperation with the ES focal points in the participating provinces and districts of each particular landscape. Technical support and backstopping is provided by the ESF Consultant team. Relevant stakeholders of the landscapes are involved and consulted, such as in the context of activities related to community engagement, such as Free Prior Informed Consent (FPIC), forest land use zoning (FLUZ) and Community Action Plans (CAP). More details on S-ESMP such as table of contents, process and use of formats are provided in Annex 4.

#### 5.5 Site-specific Environmental and Social Management Plan

The project will provide direct financing to support forest conservation activities and protection of wildlife in priority landscapes. Activities include some physical construction and renovation civil works to build office facilities at the national, provincial, district and village levels for project and government staff to facilitate forest conservation works. Small civil work will also be supported to build substation and checkpoint for forest patrolling team, access trails for nature-based tourism and conservation activities; livelihood development activities include small scale irrigation system for paddy cultivation, crop cultivation and livestock raising, and slope stabilization with trees and others. They can be linked to project components and activities as following:

- (1) Village-based sub-projects: Including activities related to component 1 and 2, such as Village Forest Management (1.2.2), Village Livelihood Block Grants (1.2.3, 2.1.1, 2.1.2), and green village infrastructure developments (1.2.6);
- (2) Tourism related interventions: Including activities related to component 2 such as public tourism facilities and other related investments that still need to be detailed (2.3);
- (3) Other infrastructure developments: Including construction of new buildings and renovation of existing ones related to component 1 and 3, such as different PA related infrastructure including office buildings, ranger stations, information facilities (1.1), and the national PA training centre in Phou Khoa Khouay PA (3.1).

Environmental and Social screening is required for all proposed sub-projects, site-specific ESMPs (SS-ESMP) will be developed and approved before they can be implemented. After proposed sub-projects and investments have passed the eligibility screening (against the 'negative checklist', see Annex 2), and the initial scoping has identified potential negative ES risks and

impacts (see Annex 3), the SS-ESMP<sup>7</sup> development process starts, that include the following steps:

- Assess ES risks and impacts in detail: ES focal points from the district level are in charge of conducting a detailed assessment of ES risks and impacts, in case such have been identified during the initial scoping. Support is provided by central level ESFPs and TA as needed. For the assessment and documentation of related results, different assessment matrix are provided in Annex 5a (the choice of the matrix depends on the results of the scoping exercise). This exercise helps to understand the nature and magnitude of environmental and/ or social risks and impacts and classify them, as well as to determine if other ESF instruments need to be deployed.
- Develop the SS-ESMP: The proponent of the sub-project with support from the ES focal points from district level, will develop a SS-ESMP tailored to the identified ES risks and impacts of the particular sub-project and/ or investment". Support is provided by central level ESFPs and TA as needed. It needs to include the ES risks and impacts as identified and documented during detailed assessment, select/ design appropriate mitigation measures (for examples of good practices see Annex 6), indicators, as well as responsibilities, timing and budget. Contents of a SS-ESMP and a plan matrix are provided in Annex 5b.
- Monitor compliance: After the SS-ESMP has been approved, agreed mitigation measures need to be implemented by the proponents of the sub-project or investments. ES focal points, especially at district level will conduct periodic field missions to monitor if and how agreed mitigation measures are implemented, and results will be documented in provided formats (see Annex 5c).

Any sub-project that would require an EIA to be carried out as defined in the updated EIA decree (2022) and the MoNRE Decision No. 0358 (2023) will be dropped from project financing.

## 5.6 Environmental Code of Practice

The Environmental Code of Practice (ECoP) is an ESF instrument (ESS 1) to be applied for small physical civil works, especially for renovation and reconstruction of buildings. The objective of the ECoP is to mitigate and manage environmental impacts of small-scale infrastructure renovation and/ or reconstruction measures, such as dust, noise, renovation waste, interruption of other facilities utility services, worker and public safety, communication other concerned parties, and wastewater management, etc. It will be applied based on the contents/ specifications as attached in Annex 8. It is a mandatory part of renovation civil works related bidding documents and contracts so that the contractor complies with environmental covenants. The constructor should report periodically to the project on implementing ECoP. Besides this, supervisors of renovation/ reconstruction work (e.g. third parties) and/ or appointed ES focal points will be responsible for monitoring compliance with the ECoP and prepare related reports.

## 5.7 Pest Management Plan

The application of agrochemicals including pesticides in agricultural landscapes in Lao PDR is increasing, due to efforts by farmers and investors to intensify the production of agricultural products (especially cash crops), and prevent pests to destroy or damage crops leading to reduced yields.

### Box 1: Definitions Pests and Pesticides

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<sup>7</sup> SS-ESMP applies to the majority of the sub-projects, including protected area infrastructure (e.g. construction of headquarters and ranger stations) and green village infrastructure (e.g. upgrading of irrigation schemes, water protection measures), however for access road sub-projects IEE is required and will be applied in accordance to the updated EIA Decree (2022) and WB ESF requirements.

Pest means any species, strain, or biotype of plant, animal, or pathogenic agent injurious to plants and plant products, materials, or environments and includes vectors of parasites or pathogens of human and animal disease and animals causing public health nuisance (FAO).

Pesticide means any substance, or mixtures of substances of chemical or biological ingredients intended for repelling, destroying or controlling any pest, or regulating plant growth (FAO).

This trend poses a certain potential risk to the LLL project, especially its intention to conserve biodiversity within selected priority landscapes, but also on community health and safety. The project does not procure nor applies such agrochemicals directly, but village-based livelihood development and support including agricultural and forestry related activities, as well others, may indirectly contribute to a further increase of their application (e.g. due to procurement of pesticides by farmers and others). To address these risks and potential adverse impacts as required by WB's ESS 3, the LLL project will assess and review them for village-based sub-projects that support livelihood development including agricultural and forestry activities funded through VLBGs (see Chapter 5.2).

Generally and in accordance to the 'negative checklist' (Annex 2), any sub-project and investment that purchases pesticides, insecticides, herbicides, and other dangerous chemicals exceeding the amount required to treat efficiently the infected area and which are banned in Lao PDR according to the Decree on Pesticide Management, and the Regulation on the Control of Pesticides, as well as by WHO regulations are not eligible for funding (related lists are provided in Annex 9).

In case potential adverse risks and impacts are detected, they will be addressed by avoiding, mitigating, and reducing them to be described in SS-ESMPs (see Chapter 5.4) and possibly by simple Pest Management Plans (PMP) in case it is required. In the case of larger investments (e.g. by the private sector in industrial plantations) the PMP needs to be comprehensive, in case of smaller investments such as for village-based sub-projects, the PMP should be simple. Guiding principles and an example of a table of content (ToC) for a PMP is attached in Annex 9, it can be modified to match the magnitude of investments and associated risks and impacts. In case this applies, the PMPs need to be attached to sub-project proposals. Environmental and social requirements on pesticide management, monitoring, disposal, health and safety are specified in detailed the Decree on Pesticide Management, and the Regulation on the Control of Pesticides (see Chapter 3.2).

Besides this, the LLL project will promote alternatives to the use of agro-chemicals including pesticides and chemical fertilizer, such as Integrated Pest Management (IPM) and Good Agricultural Practice (GAP). Both are well defined and internationally recognized alternatives, and also already introduced and applied in Lao PDR (see also Annex 6). Related local experiences can benefit application in the context of the LLL project. Technical training and extension will be provided in the context of component 2.

## **Box 2: Definitions IPM and GAP**

IPM refers to a mix of farmer-driven, ecologically-based pest control practices that seeks to reduce reliance on synthetic chemical pesticides. It involves (a) managing pests (keeping them below economically damaging levels) rather than seeking to eradicate them; (b) integrating multiple methods (relying to the extent possible, on nonchemical measures) to keep pest populations low; and (c) selecting and applying pesticides, when they have to be used, in a way that minimizes adverse effects on beneficial organisms, humans, and the environment (WB)

GAP in the use of pesticides includes the officially recommended or nationally authorized uses of pesticides under actual conditions necessary for effective and reliable pest control. It encompasses a range of levels of pesticide applications up to the highest authorized use, applied in a manner which leaves a residue which is the smallest amount practicable (FAO).

Complementary to Annex 9, that provides additional information, different publications by FAO and WHO can be consulted for more details on pest management related topics. They are available via the internet/ can be downloaded and include Environmental Safeguard Management Guideline 'Pest and Pesticide Management', 'International Code of Conduct on Pesticide Management', 'Environmental Management Tool – Kit for Obsolete Pesticides'.

### **5.8 List of Do's and Don't's Wildlife Trade and Consumption**

This Sub-chapter relates to ES requirements outlined in the ESCP, such as to apply and monitor measures to avoid and minimize impacts and risks towards biodiversity within the priority landscapes guided by a List of do's and Don'ts on **wildlife** trade and consumption (WB's ESS 6). Such risks/ impacts are also included in the 'negative checklist', which excludes sub-projects, activities, and investments from funding if such is linked to the production or trade of wildlife and wildlife products or other products or activity deemed illegal under Lao PDR laws, regulations, or international conventions and agreements, or subject to international bans.

The trade of wildlife and parts, as well as the consumption of wildlife, is prohibited except for household consumption of manageable species. This is in accordance with the national regulatory framework, especially the Law on Wildlife and Aquatic Animals and the national list of endangered and manageable species, which are both amended currently. In the context of the LLL project, project staff, consultants, and other personnel will conduct mission to the priority landscapes, which may pose potential risks and impacts on wildlife, due to buying and consuming wildlife in local markets and restaurants, or from villagers in villages supported by the project. This would create additional market opportunity and potentially increases poaching/ hunting, finally resulting in reduced wildlife/ negative impacts on biodiversity. The list of Do's and Don'ts attached as Annex 10a should prevent project staff, consultants, and other project personnel from 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.

### **5.9 Standard Waste Management Procedure**

This Standard Waste Management Procedure (SWMP) was developed as part of ESMF as required under ESS3. The project will deploy staff, consultants to support project activity implementation, SWMP will be applied to all staff and consultant working in project activities, especially, those working in a long period for forest patrolling inside forest area. Even it is expected to be of minor, regulation and rules are provided by a list of Do's and Don'ts as part of ESMF for project staff, consultants and other project personnel to refrain from producing solid waste, littering, as well as handle and dispose solid waste properly. Solid waste may also occur in the context of construction and village based sub-projects. In these cases, pollution/ solid waste concerns will be assessed and addressed as part of SS-ESMP. More details are of provided in Chapter 5.9 and related Annex 11. Potential adverse environmental risks and impacts due to pollution caused by littering and solid waste are avoided and mitigated under WB's ESS 3.

### **5.10 Unexploded Ordnance Safety and Clearance**

Unexploded Ordnance (UXO) continues to contaminate large areas including forests and agricultural fields in Lao PDR, despite advancements in the human and institutional capacity within the UXO Sector, and continued investment from the international community. It is estimated that around 25% of the villages or parts of them in Lao PDR are UXO contaminated, especially along the border to Vietnam (Northern and central Laos), including the majority of provinces participating in the LLL project, especially Houaphan, Xiengkouang, Khammouan, and Savannaket (UXO map is provided in Annex 22b). Therefore, UXO still poses a considerable risk in project areas and activities, especially, activities involved with the earth excavation and preparation works (e.g. construction of protected area and green village infrastructure).



In case of its existence in project area, project activity will not be financed until UXO surveys were conducted for UXO risk areas<sup>8</sup>, and detected UXO is cleared by authorized UXO organization (e.g. UXO Lao, MAG) and certified by National Regulatory Agency (NRA). In general, activities involved with the earth excavation and preparation works cannot commence in the UXO risk area prior to the clearance.

To ensure this, information about UXO contamination in priority landscapes and villages need to be compiled and assessed in the context of assessing/ reviewing sub-projects, activities, and investments. The PCUs and ESFPs will cooperate with UXO Lao, as well as other related agencies to acquire local UXO data, and consult the NRA and national UXO database, the Information Management System for Mine Action (IMSMA). A general **procedure** would include:

- The PCUs will contact the National Regulatory Agency (the authority in charge of managing and controlling UXO related action) and request information including access to the national UXO database (Information Management System for Mine Action, IMSMA), and advice about the contamination and risk of UXOs within the particular landscape and sub-project/ activity location, and also details on how to manage such risks;
- Where anticipated contamination or risks due to UXO exist outside the NRA-indicated risk zones, the NPCU will coordinate with local authorities and village representatives. They will collaborate to assess the potential risks by relying on local knowledge and historical incidents within the past ten years.
- In case there is anticipated contamination with and risks due to UXO, the PCUs will coordinate with NRA and provincial authorities, and seek support by UXO organizations to conduct UXO surveys and report to related agencies. Necessary budgets need to be allocated for this as well by PCUs;
- The implementation of any sub-project, activity, and construction work will only start once the area has been surveyed and in case UXO has been detected cleared, and subsequently released by the UXO organization (certified by NRA).
- Related documents will be translated and disseminated to project-affected people, including project staff, consultants, and communities as required.

UXO survey and disposal subplan is in Annex 12, however more details and health and safety related precautionary measures need to be clarified and obtained with the NRA and UXO organization.

### 5.11 Labor Management Procedures

To establish, maintain, and report on Labour Management Procedures (LMP) as required by the ESCP, and applies to project personnel and community workers, such as in the context to implement sub-projects. In addition, the provisions against forced labour and occupational health and safety also apply to government civil servants working for the LLL project. The PCUs and the Village Development Committees are responsible for compliance with relevant Lao laws and regulations such as the Labour Law (see also Chapter 3.2), and the particular requirements of WB's ESS 2 on labour and working conditions including the following:

- Hiring of project personnel will follow standard procedures to ensure equal and fair opportunities for job seekers without discrimination of any kind;
- Employment contracts are required to have clear terms and conditions including rights related to hours of work, wages, overtime, compensation and benefits, annual holiday and sick leave, maternity leave and family leave;

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<sup>8</sup> Areas with UXO risks in accordance to UXO maps from NRA, UXO database (Information Management System for Mine Action), or as indicated during consultations with stakeholders.

- Social security according to the Law on Social Security including health, accident, and life insurance as stipulated in the law. The employer shall pay the required monthly fees to the National Social Security Fund;
- Establish and maintain a dedicated GRM as described in the SEP (Chapter 8.3), project personnel and community workers will be informed about the GRM at the time of recruitment and the measures put in place to protect them against any reprisal for its use;
- Ensure compliance with occupational health and safety standards including that the employees are properly trained in the application of the standards that are relevant to the work (Lao Labour Law Chapter VIII)
- Ensure compliance with the relevant Codes of Conduct, no child or youth labour (no person under the age of 18 shall be employed), and proper compensation for labour as required by the Lao Labour law;
- Ensure equal compensation for work of equal value without discrimination of any kind, and that workers are recruited voluntarily, that no worker is forced or coerced into work;
- Register all workers (name, age, gender, residence, skills-set) prior to the start of the construction/maintenance work contract, and establish procedures and methods for conflict resolution in labour or disciplinary actions.

Other complementary requirements and details such as related to incidents/ accidents, traffic/ road safety measures, standard measures on occupational health and safety, and removal of asbestos are provided in Annex 12. Letter of appointment for project staff, consultants, and young graduates and Codes of Conducts (CoC) for Contractors, Workers and Tourists visiting PAs are provided in Annex 16.

## 5.12 Incident Reporting

The NPCU (DOF) is required to notify Incident Reporting ensures timely and proper reporting and responses to incidents and accidents within the context of the LLL project. In accordance to the ESCP, the project needs to promptly notify WB (within 48 hours) of any incident or accident which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers. They can for example include car/ traffic accidents, accidents during construction of buildings and field operations, as well as criminal acts against project staff and beneficiaries, as well as violence against children and women. The ES Incident Response Toolkit (ESIRT) updated in March 2023 will be applied to analyze root causes of the incident and identify corrective actions to prevent similar incidents from reoccurrence in the future. The ESIRT describes the response and management process, different steps included (in total 10 different steps), formats and responsibilities. The form Part B includes definitions of all incident types (e.g. fatality, forced labor, environmental pollution incident), and Form Part C includes definitions of fatality/ injury immediate causes (e.g. falls, trips, slips, non-project vehicle work travel). The project further has to provide sufficient detail regarding the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and supervising entity. Subsequently, as per the WBs request, a report on the incident or accident including measures to prevent its recurrence has to be submitted to WB. More details are provided in Annex 14.

### 5.13 Community Health and Safety Plan

Community Health and Safety Plans (CHSP) are required by the ESCP and WBs ESS 4 which specify measures and action to avoid, minimize and mitigate specific risks and impacts on the communities that may be arising from activities financed by the LLL project. Such risks may include the behavior of project workers, risks of labor influx, response to emergency situations, and others based on the assessment/ review of related risks/ impacts and as specified in sub-project, investment-specific ESMPs. A CHSP will examine factors that impact the health and safety of local people and community. Such risks may be associated with potential increased visit by and overnight stay by project staff (direct workers), consultants including young graduates, contractors and their workers (contracted workers) and community workers and tourists, response to emergency situations and others based on the assessment of related risks/ impacts of site-specific sub-project and interventions. These include health related issues (such as potential infectious diseases, soil, air, water and waste-related diseases, effect on privacy and mental well-being among local villagers) and community safety risks of Sexual Exploitation and Abuse (SEA), Gender-Based Violence (GBV) and Violence Against Children (VAC) due to misbehavior and poor management of project workers. CHS risks and impacts may also be anticipated from civil works to be financed by the project including dust, noise, traffic and road safety during the construction period. CHS (ESS4) risks associated with the involvement of the army in the project implementation in Phou Khao Khouay NPA is rated to be low. CHSP will include Code of Conduct to be applied by both direct and indirect workers and GRM to be in place with focal staff from the landscape offices and PCU appointed to enable affected people and victims to report on their concern and issues on SEA, GBV and VAC. However, the security risk management framework was prepared to be applied under Phou Khao Khouay NP. Because of the management authority for the PKK NP has been officially handed over from the Ministry of Defence (MoD) to MAF at the beginning of the LLL implementation, the SRA and measures to mitigate the risks associated with army involvement are no longer relevant to the landscape. See Section 5.13.

Details and a table of contents for CHSP are provided in Annex 15.

### 5.14 Cultural Heritage Framework

The WB' ESS 8 requires that potential risks and impacts of project activities are avoided by procedures and measures specified in the Cultural Heritage Framework (CHF). Cultural heritage/artifacts are physical cultural resources, which are defined as movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Such may be located in urban or rural settings, and may be above or below ground, or underwater. Their cultural interest may be at the local, provincial, or national level, or within the international community.

The "chance find" procedures as central part of the CHF (see Annex 17) is a project-specific procedure which will be followed if previously unknown cultural heritage is encountered during project activities. It sets out how chance finds associated with the project will be managed. The procedure includes a requirement to notify relevant authorities of found objects or sites by cultural heritage experts; to fence off the area of finds or sites to avoid further disturbance; to conduct an assessment of found objects or sites by cultural heritage experts; to identify and implement actions consistent with the requirements of ESS 8 and national law; and to train project personnel and project workers on chance find procedures. It will be included in all civil works contracts, as well as in the letters of appointment for project staff and consultants.

The likelihood that civil works, sub-projects, and activities encounter physical cultural resources/artifacts of archaeological, cultural, or historical importance is anticipated as low. As the construction work and sites will only be determined in the course of the project, basic procedures will be part of the assessment and review process for infrastructure developments, as well as included in related SS-ESMP's.

### **5.15 COVID-19 Response**

The project is prepared and will be implemented during the COVID-19 outbreak, measures for COVID-19 response are provided to ensure that project personnel and local communities as well as other concerned stakeholders are safe from being infected with COVID-19. General COVID-19 response guidelines, as well as suggested hygienic measures and visualizations that could be used to create awareness are provided in a technical note in Annex 18. This Note provides guidance to MAF and cooperating partners to avoid/ minimize risks due to CORONA-19 (e.g. in context of consultations, events, meetings, engagement with communities). Careful regard needs to be given to COVID-19 developments in Lao PDR and requirements by the GoL, as well as updated guidance issued by WHO. All measures implemented to address COVID-19 related risks need to be in accordance with the local applicable laws and policies, especially those related to media and communication.

The World Health Organization (WHO) has issued technical guidance in dealing with COVID-19, including Risk Communication and Community Engagement, Action Plan Guidance Preparedness and Response; Risk Communication and Community engagement readiness and response; COVID-19 risk communication package for healthcare facilities; getting your workplace ready for COVID-19; and a guide to preventing and addressing social stigma associated with COVID-19. These materials can be accessed on WHO website: <https://www.who.int/emergencies/diseases/novel-coronavirus-2019/technical-guidance>.

### **5.16 Gender-based Violence and Violence against Children**

According to the ESCP and WBs ESS 4, the LLL project needs to apply Gender-Based Violence (GBV), Violence Against Children (VAC) and Sexual Exploitation and Abuse (SEA) risk management measures designed to manage the risks of project activities exacerbating gender-based violence, including violence against children, sexual abuse and risk of exclusion of disadvantaged groups on the basis of gender or ethnicity. It is anticipated that related overall risks exist potentially due to duty missions by project staff, consultants, and others to the priority landscapes and stays at villages, but that such risks are low.

To avoid, reduce or minimize such risks, Codes of Conducts (CoC) for GBV and VAC were developed and are attached as Annex 19. They should prevent project staff, consultants, and other project personnel from conducting/ being involved in GBV and VAC during duty missions to the priority landscapes and villages, as well as report such if they become aware of such. The CoC's will be handed out and explained to all project staff, consultants and others, and are expected to be signed to acknowledge/ commit to it.

Besides this, GBV and VAC related potential risks will be assessed and reviewed in the context of strategic and site-specific assessment and reviews, and in case potential risks and impacts are detected, measures included in SS-ESMPs related to sub-projects, activities, and investments. In some cases, simple GBV and VAC plans might be developed. The GRM established by the project will facilitate and ensure that GBV and VAC related complains and issues can be reported and addressed in a timely and accountable manner. Focal staff from the landscape offices and PMU will be appointed to enable affected people and victims to report on their concern and issues on SEA, GBV and VAC. The focal staff and those agencies involved including Lao Women Union and Lao Youth with local presence and local authority will receive specialized training to be able to handle these types of sensitive grievances. The project will direct the SEA, GBV and VAC related grievances to these appropriate agencies or share resources available in the community. It is also an option to engage an experienced female national counselor and NGOs involved in youth, women and child protection and promotion to facilitate safe disclosure and referral of issues that may be received through the established GRM and/ or via a counselling hotline.

### **5.17 Community Engagement Framework**

The CEF is prepared as a standalone document which is closely connected with this ESMF and SEP to provide key requirements and process to manage potential social risks and impacts on

the local communities and their livelihood in the landscapes identified under ESS5: Land Acquisition, Restrictions on Land Use, and Involuntary Resettlement and ESS7: Indigenous People in a single framework. CEF integrates three important ESF elements which are discussed below. Further detail is provided in CEF.

(1) An Ethnic Group Development Framework is provided to avoid and mitigate potential risks and adverse impacts associated from project activities on ethnic groups and ensure that they benefit from the project in a culturally sensitive manner;

(2) A Process Framework to manage project-related changes in access to or the use of forests and related resources; and

(3) A Resettlement Policy Framework to manage any (unlikely) instances of involuntary land acquisition that may be required for small infrastructure and livelihood activities to be financed under the project.

### **Ethnic Group Development Framework**

In accordance with the ESCP, and WB's ESS 7, the LLL project needs to prepare, implement and monitor measures to benefit ethnic groups in the context of preparing and implementing village-based sub-projects and other investments in accordance with the requirements of the Ethnic Group Development Framework (EGDF).

This is very relevant to the LLL project and any sub-project, activity, and investment that affects an ethnic group (with defining characteristics of Indigenous Peoples, as of WB's ESS 7) must first undertake a social assessment process, through which "free, prior and informed consultation" with affected ethnic groups results in expression of broad community support. Such consultations must be conducted in a language and location suitable for effective local participation. The sub-project subsequently should be designed to ensure that it provides culturally appropriate opportunities for ethnic groups to benefit from the project, as well as to provide measures to mitigate any adverse impacts on ethnic communities.

### **Box 3: Definition 'Indigenous People'**

The term 'indigenous peoples' is used in a generic sense to refer exclusively to a distinct social and cultural group possessing the following characteristics in varying degrees: (a) self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others; (b) collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation, as well as to the natural resources in these areas; (c) customary cultural, economic, social or political institutions that are distinct or separate from those of the mainstream society or culture; (d) a distinct language or dialect, often different from the official language of the country or region in which they reside. The terminology used for such groups varies from country to country and often reflects national considerations (e.g. 'indigenous ethnic minorities', 'aboriginals', 'hill tribes', 'vulnerable and marginalized groups', 'tribal groups').

In the LLL project context 'indigenous peoples' as of the definition by WB's ESS 7, refers to Mon-Khmer, Hmong Mien, Sino-Tibetan, and Tai-upland ethno-linguistic groups, who are culturally distinct from the Lao majority population. For sub-projects potentially affecting ethnic groups, the Community Engagement Framework (CEF) needs to be followed, which includes the Ethnic Group Development Framework (EGDF) and Ethnic Group Development Plan. In accordance to WB's ESS 7, the EGDF consists of a methodology for screening the presence of ethnic groups in the project areas, and for assessing the nature and degree of the expected direct and indirect economic, social, cultural (including cultural heritage), and environmental impacts associated with the proposed registration activities. It will also include clear criteria and guidelines on how to undertake Free, Prior, and Informed Consent (FPIC) activities, when required. The CEF is a separate document that describes and specifies all details related to the EGDF, as well as the Access Restriction Framework (ARF) and Resettlement Framework (RF).

## Access Restriction and Resettlement Policy Frameworks

The LLL project will comply with requirements of WB's ESS 5, and the ones agreed in the ESCP on potential adverse risks and impacts on communities and persons due to land acquisition and restrictions on land use. In the context of the LLL project, restrictions on land use and related potential adverse impacts on communities and people may occur in the context of activities such as during Forest Land Use Zoning (FLUZ), zoning of protected areas or other forest categories, especially while establishing Total Protected Zones (TPZ). Land acquisition and related potential adverse impacts on communities and people may occur in the context of the construction of new buildings for protected areas and tourism.

Project-related land acquisition or restriction on land use may cause physical displacement, economic displacement, or both (the term 'involuntary resettlement' refers to these impacts). Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restriction on land use that results in displacement. In the context of the assessment and review of potential adverse environmental and social risks and impacts (Chapter 5.2) all village based sub-projects, activities and infrastructure developments will be assessed if land use restrictions and land acquisition are of concern.

### A Resettlement Policy Framework (RPF)

RPF has been developed and is annexed to the CEF. It intends to (1) avoid involuntary resettlement or, when unavoidable, minimize involuntary resettlement by exploring project design alternatives, (2) to avoid forced eviction, and (3) to mitigate unavoidable adverse social and economic impacts from the land acquisition or restrictions on land use by (a) providing timely compensation for loss of assets at replacement. When land acquisition is unavoidable and required for implementing project activities particularly civil works, an Abbreviated Resettlement Action Plan (ARAP) will be prepared and implemented prior to the commencement work. Review and clearance for the ARAP from the World Bank would be required before disclosure and implementation.

## 6 Environmental and Social Framework Implementation and Management

### 6.1 Implementation Arrangement

The LLL project is implemented by different institutions at central, provincial, district, and village levels, based on their legal mandates. The implementing agency is the Ministry of Agriculture and Forestry (MAF) in close cooperation with other Ministries, such as the Ministry of Natural Resources and Environment (MoNRE), the Ministry of Information, Culture and Tourism (MoICT), the Ministry of Public Works and Transport (MPWT), the Ministry of Planning and Investment (MPI) and the Ministry of Finance (MoF). Organisations and institutions that are involved include the Lao Women Union (LWU), the Lao National Front for Development (LNFD), and the National University of Lao PDR (NUoL).

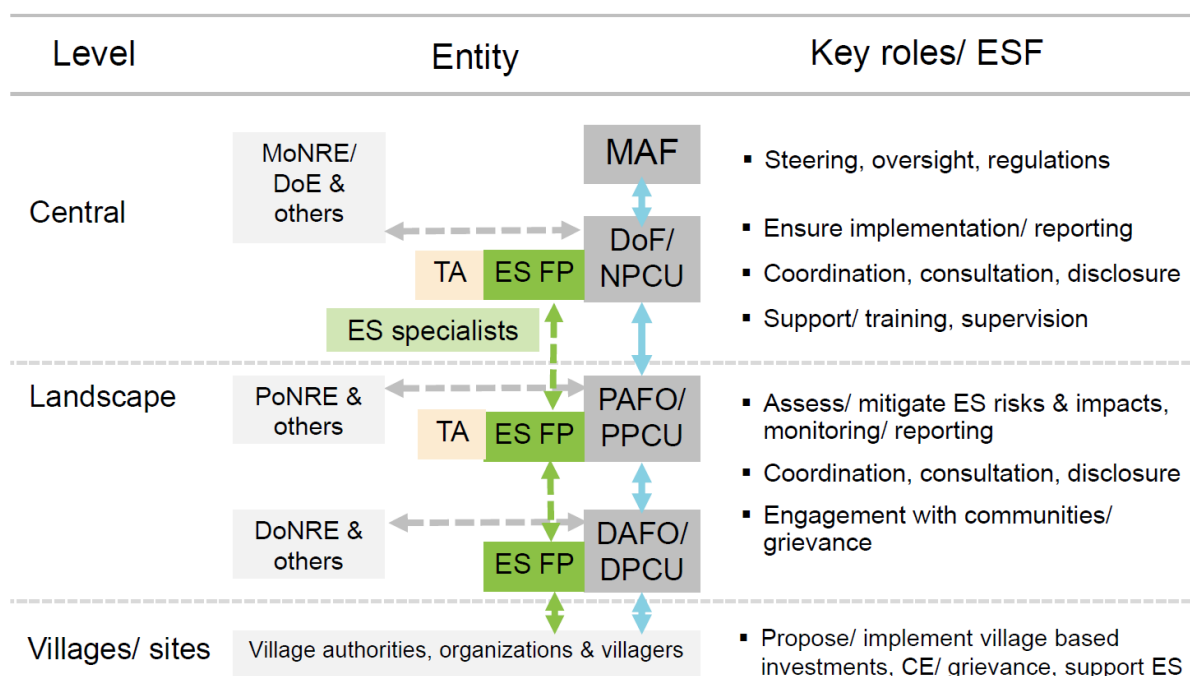
The Department of Forestry (DoF) in MAF will lead the project implementation, and dedicated Project Coordination Units (PCU) will be of central importance, they include:

- A National PCU (NPCU) at DoF to manage the project, and to coordinate project activities with other ministries, departments, provincial, and district line agencies. Each institution will have a dedicated project coordination team networked to the PCU to form a robust multi-sector team that regularly exchanges relevant information across institutions and sectors. A similar set-up exists at the sub-national level, that include:
- Provincial PCUs (PPCU) in each of the 8 participating provinces and Vientiane Prefecture at the Provincial Agriculture and Forestry Offices (PAFO) to implement and monitor activities, as well as coordinate work programs with relevant line agencies and technical teams (including PA management units). The tasks also include reporting, convening meetings and workshops, liaising with provincial authorities and with the NPCU. They will be supported by technical assistance to meet the complexities and multi-sectorial nature of the project activities, including

fiduciary to implement and monitor ESF, procurement, and financial management.

- **District PCU (DPCU)** in each participating district at the District Agriculture and Forestry Offices (DAFO) to manage and coordinate work plans, reporting, training, and tasks with provincial and district staff, as well as oversee village level activities. They will be supported by technical assistance based on requirements and local capacity.

Embedded into the overall project management and coordination arrangement (PCUs), qualified environmental and social focal points (ESFP) were appointed to ensure proper environmental and social safeguard management, as well as that all requirements of the ESF are met and fulfilled. Into each of the PCUs (central, provincial, district level), 2 qualified and experienced Government staff were appointed as ESFP (1 for environmental concerns and 1 for social concerns) prior to project effectiveness and maintained during the entire project duration. Additional to this, subject matter specialists can be appointed for targeted inputs by relevant Departments within MAF (e.g. from Department of Agriculture) and other Ministries (e.g. by MoNRE) to support the ESFP with particular expertise/ skills. The appointed ESFP’s teams will receive technical support, training, and supervision by ESF consultants, as well as by environmental and social subject matter specialists as required.



**Figure 3: ESF Implementation Arrangement**

The DoF at the MAF has the overall responsibility to fulfil the commitments as agreed in the Environmental and Social Compliance Plan (ESCP), as well as environmental and social management requirements as specified in the ESFM, SEP, and CEF. Close cooperation with relevant line Ministries, especially MoNRE and partners, as well as the involvement of all relevant stakeholders will be ensured. Relevant Departments in MoNRE, especially the Department of Environment (DoE) will have a lead function related to the application of SESA and main beneficiary for related capacity building. Table 7 below summarizes the main responsibilities and tasks of PCUs and ES focal points in relation to this. They have to be detailed in terms of references (ToR) later on.

**Table 7: Overview on Main ESF related Responsibilities and Tasks**

Entity	Main Responsibilities and Tasks
DoF/ National PCU	<ul style="list-style-type: none"> <li>• Overall responsibility for ES management and performance of the project;</li> <li>• Ensure that commitments as of ESCP are fulfilled, and that ESF requirements are complied with;</li> <li>• Oversee ESMF, SEP, and CEF implementation by coordinating related activities with safeguard focal points, review/ refine ESMF, SEP, and CEF;</li> <li>• Appoint 2 ES focal points, recruit and oversee ESF consultants/ subject matter specialists;</li> <li>• Ensure cooperation/ coordination of safeguard related activities with relevant Ministries, especially MoNRE, as well as relevant organizations (e.g. LLNFD, LWU);</li> <li>• Ensure that ESF related activities, budgets, and other means are included in overall project work plans/ budgets;</li> <li>• Ensure that ESF related information is disclosed and managed in an appropriate way;</li> <li>• Coordinate policy-related activities, strategic assessments (SESA), and related studies;</li> <li>• Report ESF related activities and compliance in the context of period project reporting to MAF and WB, seek clearance for revised ESMF, CEF, SEP and other ESF documents from WB;</li> <li>• GRM oversight, respond to/ address complaints, to MAF and WB;</li> <li>• Notify the WB of incidents/ accidents within 48 hours after taking notice on the incident or accident</li> <li>• Organize events, workshops, and others.</li> </ul>
ES focal points/ NPCU	<ul style="list-style-type: none"> <li>• Prepare ESF related central level work plans and budgets, submit to NPCU management;</li> <li>• Coordinate ESF related activities with provincial ES focal points (e.g. events, work plans, reporting);</li> <li>• Support the development of training/ awareness materials, as well as organize and conduct trainings for the provincial level;</li> <li>• Backstop provincial ES focal points, especially related to site-specific/ sub-project assessments and safeguard compliance;</li> <li>• Ensure that ESF requirements are included in contracts, supervise that contractors fulfil contractually specified ESF requirements (contracted by central level);</li> <li>• Compile/ prepare ES related information to be disclosed by DoF and store/ manage them appropriately;</li> <li>• Compile/ report complaints and incidents/ accidents to NPMU;</li> <li>• Support strategic assessments (SESA) and related studies;</li> <li>• Coordinate inputs provided by ESF experts/ subject matter specialists;</li> <li>• Prepare bi-annual ES monitoring reports on ESF implementation and compliance, submit to PCU management and WB.</li> </ul>
PAFO/ Provincial PCU	<ul style="list-style-type: none"> <li>• Responsibility for ES management and performance within the particular province;</li> <li>• Ensure that ES management and compliance in the particular province is in accordance with ESMF, SEP, and CEP;</li> <li>• Appoint 2 ES focal points, and coordinate ESMF, SEP, and CEF implementation with them;</li> <li>• Ensure cooperation/ coordination of ESF related activities with relevant provincial line agencies (e.g. PoNRE, NRA) and relevant organizations (e.g. LWU, LNFD, UXO Lao);</li> </ul>



Entity	Main Responsibilities and Tasks
	<ul style="list-style-type: none"> <li>• Ensure that ESF related activities, budgets, and other means are included in provincial work plans/ budgets;</li> <li>• Support disclosure and management of ESF related information;</li> <li>• Report ESF related activities and compliance in the context of periodic reporting by PPCU to NPCU/ DoF;</li> <li>• Respond to/ address complaints, report incidents/ accidents to NPMU;</li> <li>• Contribute to policy/ strategic assessments (SESA); organize events as required.</li> </ul>
ES focal points/ PPCU	<ul style="list-style-type: none"> <li>• Prepare ESF related provincial work plans and budgets, submit to PPCU management;</li> <li>• Coordinate ESF related activities with national/ district ES focal points (e.g. events, work plans, reporting);</li> <li>• Prepare, organize and conduct trainings for district level;</li> <li>• Backstop district ES focal points, especially related to review/ assessment of sub-project proposals, and ESF monitoring/ compliance;</li> <li>• Ensure that ES requirements are included in contracts, supervise that contractors fulfil contractually specified ESF requirements (contracted by province);</li> <li>• Compile/ prepare ES related information to be disclosed by PAFO/ DoF and store/ manage them appropriately;</li> <li>• Support strategic assessments and related studies;</li> <li>• Coordinate provincial inputs provided by ESF experts/ subject matter specialists;</li> <li>• Compile/ report complaints and incidents/ accidents to PPMU;</li> <li>• Prepare periodic reports (quarterly) on ES implementation and compliance in the province, submit to PPCU management.</li> </ul>
DAFO/ District PCU (DPCU)	<ul style="list-style-type: none"> <li>• Responsibility for ES management and performance within the particular district;</li> <li>• Ensure that ES management and compliance in the particular district is in accordance with ESMF, SEP, and CEP;</li> <li>• Appoint 2 ES focal points, and coordinate ESMF, SEP, and CEP implementation with them;</li> <li>• Ensure cooperation/ coordination of ESF related activities with relevant district line agencies (e.g. DoNRE) and relevant organizations (e.g. LWU, LNFD);</li> <li>• Ensure that ESF related activities, budgets, and other means are included in district work plans/ budgets;</li> <li>• Support disclosure and management of ESF related information;</li> <li>• Report ESF related activities and compliance in the context of periodic reporting by the DPCU to PPCU/ PAFO;</li> <li>• Respond to/ address complaints, report incidents/ accidents to PPMU;</li> </ul>
ES focal points/ DPCU	<ul style="list-style-type: none"> <li>• Prepare ESF related district work plans and budgets, submit to DPCU management;</li> <li>• Coordinate ESF related activities with province ES focal points (e.g. events, work plans, reporting);</li> <li>• Prepare, organize, and conduct trainings at the district and village level;</li> <li>• Review/ assess sub-project proposals, prepare ESF documents as required (e.g. ESMP); collect/ compile required data and information in villages;</li> <li>• Monitor compliance of sub-projects with measures agreed in ESMP, report results to DPCU management;</li> </ul>

Entity	Main Responsibilities and Tasks
	<ul style="list-style-type: none"> <li>• Contribute to disclose ES related information/ documents and store/ manage them appropriately;</li> <li>• Compile/ report complaints and accidents/ incidents to DPCU;</li> <li>• Prepare periodic reports (quarterly) on ES implementation and compliance in the district; and submit to DPCU management.</li> </ul>

## 6.2 Clearance and Disclosure

Clearance and disclosure of ESF documents in the context of the LLL project include project ESF documents including ESCP, ESMF, SEP, and CEF, as well as site-/ sub-project specific ESF documents such as ESMPs. As per the ESS10 requirement, the draft ESMF and other ESF documents need to be disclosed appropriately and all relevant stakeholders consulted. This is to inform them of the LLL project and potential ES risk and impacts on the local people and their environment and seek their feedback on the proposed risk management measures and instruments. Meaningful and appropriate consultation and disclosure are an essential requirement by WBs ESF, especially ESS 10. Only after such, they can be cleared by WB that they can be applied. Consultation and disclosure of the ESF documents, especially the ESMF, SEP, and CEF will continue during initial project implementation, in the context of reviewing and refining them under the overall responsibility of the DoF/ NPCU.

Consultations and disclosure of site-/sub-project specific results of environmental and social assessments/ review, as well as related ESF compliance documents such as ESMFs, or others as required, are the responsibility of the PCUs and appointed ES focal points, supported by appointed provincial/ national ES focal points. These documents will also be translated into languages of different/ concerned ethnic groups in accordance with their presence within sub-project areas. For this, consultations and disclosure will take place in villages (in accordance with CEF). Clearance of sub-projects can be done by PCUs (DAFO/ PAFO/ DoF).

As per the ESS10 requirement, the draft ESMF and other ESF documents need to be disclosed appropriately and all relevant stakeholders consulted. This is to inform them of the LLL project and potential ES risk and impacts on the local people and their environment and seek their feedback on the proposed risk management measures and instruments. The draft ESMF and other ESF documents have been disclosed at the website of the Department of Forestry (<http://dof.maf.gov.la/en/home/>) since 01. October 2020. Beside disclosing these draft documents on DoF's website, they also were disseminated via other means, such as by WhatsApp and by e-mail.

The ESF team informed and contacted 84 representatives of relevant Government agencies, organizations, projects, Non-governmental Organizations (NGO) and private sector from central level and the 8 participating provinces, and were requested to provide feedback and comments. So far, 24% of the contacted persons have responded and provided feedback.

In addition to this, a 'face to face' local consultation event has been conducted recently on 13<sup>th</sup> October 2020 in Thalad in Vientiane province to present the LLL project, anticipated ES risks and impacts, as well as relevant details of the ESMF and the other ESF documents to 52 representatives from local government agencies, organizations and participating villages. The consultation did witness lively feedback and discussions. Many of the commenters agreed in general, also that LLL project offers a good opportunity to address many challenges related to conservation and sustainable management of forests in the landscapes. Many respondents voiced questions of understanding related to details of the LLL project, such as livelihood support to villages, project site location and also related to ESF details, such as on CEF and GRM. Key topics during discussion and in responses included land issues and conflicts in the context of tree plantation investment by private sector and the role of LLL, livelihood support including the grant scheme for vulnerable members, customary land rights and believes of ethnologically diverse population in participating villages, the collaboration with existing projects and how to harmonize approaches. All consulted persons and their contacts, as well as all comments and discussions

have been documented in the SEP, including internet/ social media based consultations (Annex 4 and 6) and the 'face to face' stakeholder consultation (Annex 7).

### 6.3 Monitoring, Inspection and Evaluation

Monitoring and evaluation are part of overall adaptive management of the LLL project, and also required in the context of environmental and social management and compliance. Generally, monitoring enables project management to detect deviations from agreed plans and commitments, and to trigger measures to correct them (corrective action). ESF related monitoring takes place at different levels: (1) at project management (landscape)/ strategic level (activity 3.3.6: including livelihoods, ecosystem services, gender, wildlife/ zoonosis), as well as (2) related to site-specific sub-projects (e.g. SS-ESMP). At the project/ landscape level different environmental/ social parameters will be monitored to determine the impact of project-related activities and investments. Assessments and studies on environmental and social issues in the context of SESA are also relevant in this context.

Besides this, the implementation of and compliance with agreed ESMF, SEP, and CEF has to be monitored regularly, and inspections have to be conducted periodically. The responsibility for this is with the ES focal points as part of the National and Provincial PCUs. Service providers will be engaged to conduct related assessments and studies. It is important that access to relevant spatial data is ensured, such as to GIS data, remote sensing (satellite imagery) and maps to enable proper monitoring of impacts on forests and natural habitats, as well as monitoring and inspection of compliance to agreed SS ESMPs.

At a sub-project level, the compliance of agreed mitigation measures in SS-ESMPs, as well as the appearance of unexpected risks and impacts needs to be monitored (see Annex 5). This is mainly the responsibility of the appointed district ES focal points of the District PCUs. Contractors have also monitoring obligations, as they have to submit monitoring reports to PCUs on progress and compliance to contractually agreed ESF compliance measures. Inspection missions have to be conducted periodically by superior ES focal points and other members of PCUs. Provided formats will be used to document results (see Annex 7). It is also intended to introduce and apply digital reporting on ESF compliance and related inspections by using smartphone and ODK based opportunities. This will be established in the context of overall project related reporting system.

Monitoring also contributes to compiling important information that helps to evaluate procedures and technical interventions/ approaches 'lessons learned', to finally refine them. The ESF documents, including ESMF, SEP, and CEF will be reviewed and refined based on experienced made during initial implementation efforts by the project. It contributes to enhance procedures and instruments, and to make overall performance, safeguard compliance, and mitigation efforts more efficient.

### 6.4 Reporting and Data Management

ESF related reporting takes place (1) in the context of overall project related reporting including progress in fulfilling agreed action as of the ESCP and compliance with ESFM, SEP, and CEF, (2) in the context of sub-project specific monitoring of agreed mitigation measures, as well as (3) in the context of infrastructure investments such as the renovation/ construction of buildings by the contractor (as contractually agreed). Monitoring as described above provides important information for reporting purposes and to compile detailed bi-annual ES monitoring reports based on agreed format (see Annex 7). Besides formal reporting, also verbal reporting is taking place such as by appointed ES focal points to PCU management. Table 8 below provides an overview of reporting requirements and timing.

**Table 8: Overview of Reporting Requirements**

Responsible entity	Reporting requirements	Timing
<ul style="list-style-type: none"> <li>National PCU/ DoF</li> </ul>	<ul style="list-style-type: none"> <li>✓ Prepare overall project progress reports, incorporate summary on ESF</li> </ul>	Bi-annually to MAF/ WB

Responsible entity	Reporting requirements	Timing
	compliance/ issues, submit to DoF/ WB	
• National ESFP	✓ Prepare detailed bi-annual ES monitoring reports, as well as a summary on ESF performance/ issues for project progress reports, submit to NPCU management	Bi-annually to NPCU/ WB
• Provincial PCU/ PAFO	✓ Prepare provincial progress reports, incorporate summary on ESF compliance/ issues, submit to ESFPs/ NPCU	Quarterly to NPCU
• Provincial ESFP	✓ Prepare ES monitoring reports and summary on ESF performance/ issues for the province, submit to PPCU management	Quarterly to PPCU
• District PCU/ DAFO	✓ Prepare district progress reports, incorporate summary on ESF compliance/ issues, submit to ESFPs/ PPCU	Quarterly to PPCU
• District ESF focal points	✓ Contribute to ES monitoring reports and prepare summary on ESF performance/ issues for the district, submit to DPCU management	Quarterly to DPT
• Constructors	✓ Prepare monitoring reports, submit them to NPCU or PPCU (depending on contractual arrangements)	Monthly to PCUs

ESF related activities, including assessments and review, documentation, monitoring, and reporting create an increasing amount of data during the project lifetime. This includes data in different formats, such as documents, spatial data, maps, and others that all need to be properly managed (saved, stored, secured, retrieved if required). Data/ information management will be based on a filing system to categorize data/ information, as well as filing of documents/ data in digital formats and as hard copies. Digital data should be stored and managed using existing server capacities at DoF, which also should ensure access to and storage of spatial data and remote sensing sources at the Forest Inventory and Planning Division (FIPD).

## 7 Stakeholder Engagement, Grievance Redress, and Gender

### 7.1 Stakeholder Engagement

This chapter introduces briefly to stakeholder engagement, and the related Stakeholder Engagement Plan (SEP), which was formulated in the context of developing the ESF for the LLL project. The SEP is required by the agreed ESCP, and meaningful engagement and consultation with all relevant stakeholders in the context of the LLL project will be ensured as required by WBs ESF, especially ESS 10. Stakeholders include communities (villages), groups, or individuals affected by the LLL project and with other interested parties, and will be ensured through appropriate information disclosure, consultation, and informed participation. Stakeholder engagement is an inclusive process conducted throughout the project life cycle to support the development of strong, constructive, and responsive relationships that are important for successful management of a project's environmental and social risks. The **requirements of WB ESS 10** includes:

- Stakeholder engagement is most effective when initiated at an early stage of the project development process, and is an integral part of early project decisions and the assessment, management, and monitoring of the project.”

- Stakeholders need to be engaged throughout the project life cycle, commencing such engagement as early as possible in the project development process and in a timeframe that enables meaningful consultations with stakeholders on project design.
- The nature, scope, and frequency of stakeholder engagement will be proportionate to the nature and scale of the project and its potential risks and impacts.
- Meaningful consultations with all stakeholders, by providing stakeholders with timely, relevant, understandable, and accessible information; and consult with them in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination, and intimidation.
- The process of stakeholder engagement needs to include (i) stakeholder identification and analysis; (ii) planning how the engagement with stakeholders will take place; (iii) disclosure of information; (iv) consultation with stakeholders; (v) addressing and responding to grievances; and (vi) reporting to stakeholders.
- During the environmental and social assessment, a documented record of stakeholder engagement needs to be established/ maintained, including a description of the stakeholders consulted, a summary of the feedback received, and a brief explanation of how the feedback was taken into account, or the reasons why it was not.”

The SEP is a separate document, which includes an initial stakeholder analysis and related results, including listing of all relevant stakeholders at the central/ sub-national level, as well as communities/ vulnerable groups. It outlines and describes various activities/ measures as part of a stakeholder engagement program required to fulfill related social safeguard commitments. Main activities include strategy for information disclosure, consultation, and incorporation of views of vulnerable groups, Free Prior Informed Consent (FPIC), engaging with women and ethnic groups, as well as responsibilities, timing and required resources (including budget, see Chapter 9.3).

## 7.2 Grievance Redress

The proposed LLL project will establish and operationalize a Grievance Redress Mechanism (GRM) to comply with the WB's ESS 10 requirements, to which this Chapter introduces briefly. The GRM has been designed based on the existing national system and detailed as part of the standalone SEP. It includes organizational structure and procedures to receive and address concerns and complaints about the project related impacts of on project affected people and concerned stakeholders. The GRM intends to complement, and not to replace the existing formal legal channels for managing project-related grievances. GRM follows the following key **fundamentals**:

- Rights and interests of impacted people, communities', workers, and others associated with, or impacted by the project are protected.
- Concerns of project participants arising from the project implementation process are adequately addressed and in a prompt and timely manner.
- Entitlements or livelihood support for project participants are provided on time and in accordance with the Government and World Bank safeguard policies.
- Project participants are aware of their rights to access grievance procedures free of charge.
- The grievance mechanism is in accordance with existing policies, strategies, and regulations on grievances as defined by GoL.

Besides this, the GRM established by the LLL project, will follow internationally recognized key **principles** and should be:

- Legitimate: Enabling trust from the stakeholder groups for whose use they are intended, and being accountable for the fair conduct of grievance processes.

- Accessible: Being known to all stakeholder groups for whose use they are intended, and providing adequate assistance for those who may face particular barriers to access
- Predictable: Providing a clear and known procedure with an indicative timeframe for each stage, and clarity on the types of process and outcome available and means of monitoring implementation.
- Equitable: Seeking to ensure that aggrieved parties have reasonable access to sources of information, advice, and expertise necessary to engage in a grievance process on fair, informed, and respectful terms.
- Transparent: Keeping parties to a grievance informed about its progress, and providing sufficient information about the mechanism's performance to build confidence in its effectiveness.
- Rights compatible: Ensuring that outcomes and remedies accord with internationally recognized human rights.
- Enabling continuous learning: Drawing on relevant measures to identify lessons for improving the mechanism and preventing future grievances and harms.
- Based on engagement and dialogue: Consulting the stakeholder groups for whose use they are intended on their design and performance and focusing on dialogue as the means to address and resolve grievances.

The Project's GRM will consist of different steps with guidelines outlined for each of them, and grievances will be addressed at all levels, from the village, district, province, and national level. A complainant also retains the right to bypass this procedure and can address a grievance directly to the 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 village offices for easily accessible. At each level grievance details, discussions, and outcomes will be recorded in a grievance logbook. A summary of GRM status will be provided in the semi-annual project progress report under the section of ESF compliance.

### 7.3 Gender

The LLL project is gender-tagged and plans to mainstream gender issues to ensure differential impacts are addressed. Gender analysis in the project area was conducted to inform the development of a gender action plan with results indicators. This plan will assist the client to promote gender equality and mitigate possible risks. The project design has taken into consideration gender roles and benefits in preparing and implementing forestry, tourism, conservation and livelihood activities, environment and social framework (ESF) documentation, citizen engagement, and grievance redress arrangements. Key **gender gaps** identified in forest landscapes include:

- Less access to communal lands/forests: The study results suggest that communal/customary land areas in many villages have become smaller due to land 'expropriations' by elites and foreign companies, affecting poor households and women disproportionately.
- Lack of inclusion and decision-making power in participatory land use planning (PLUP): Land use planning approaches have not been fully inclusive of women and other marginalized groups.
- Workloads of women are greater than men: Women's work burdens (home and farm) constrain them from seeking out and undertaking new agroforestry or forest-related livelihood enhancing opportunities. Women spend more time collecting (and selling) NTFP's and collecting firewood than men.

- Lack of awareness of, and benefits from forest landscape-related programs: Few women, and less women than men, are aware of, or benefiting from forest landscape-related interventions/forest-smart activities.
- Lack of gender awareness and capacity within Forest agencies: The study highlighted that the Provincial and District Forestry agencies have a limited awareness as to the relevance of gender-responsive measures in their sector.

These gaps are addressed by the gender action plan, including **component-specific responses** and measures such as:

- Component 1 invests in natural capital, particularly in national parks and protected areas, and includes support to forest and land use planning and management and aims to catalyze nature-based tourism initiatives. The main gender gaps applicable here related to participation: women and the poorest and minority ethnic community members in many villages have been virtually excluded from both participation and decision-making in land and forest use planning at local and higher levels of governance. Another gender gap relevant here relates to capacity and lack of technical skills of women to be involved in forest-related initiatives. Here, nature-based tourism initiatives undertaken in LLL, such as trainings and creation of new jobs, also offer a good opportunity to take steps to ensure they are accessible to women as well as men.
- Component 2 intends to enhance livelihood opportunities. Key gender constraints that are relevant and could be addressed here include those related to access to and use rights over communal/forest lands, the huge time constraints women face, and information-related gaps between men and women. Equitable benefit-sharing arrangements from any Payment for Environmental Services (PES) or other forest-related schemes that generate income or other diversified livelihood opportunities will also be needed. VLDG are the main strategy to diversify and enhance livelihoods in the Project villages, and will finance a range of conservation-oriented livelihood priorities to be identified during participatory land use planning. The participatory process to choose these activities will have to be inclusive and empowering of women to lead to equitable benefits. The LLL project can facilitate the active and effective participation of women in community meetings. Locating and timing trainings to accommodate women's work schedules and preferences will enhance equitable participation and outreach. This can be done in coordination with LWU, LNFD, and local women's organizations to build on existing networks and best practices for outreach.
- Component 3 supports investments in strengthening institutions, incentives, and information. It will review legal and policy frameworks and guidelines for protected area management, sustainable production forest areas, as well as village forestry regulations. Thus, critical gender gaps to pay attention to here relates to participation and capacity of government forest agencies at various levels, including the Lao Women's Union, to implement gender-responsive activities. The GID also identified a critical forest policy gender gap: that laws, regulations, and guidelines do not consider gender as an explicit factor in forest protection

## 8 Capacity Building, Technical Support, and Budget

### 8.1 Capacity Building

Adequate capacities are an essential precondition to successfully and timely implement the LLL project, including to fulfill all commitments related to ESF management and compliance as specified in ESCP, ESMF, SEP, and CEF. A capacity needs analysis needs to be conducted at the beginning of the project implementation, after all ES focal points at all levels (national, provinces, districts) have been appointed. This is required to understand existing knowledge, skills, and experiences, to identify gaps to ESF compliance requirements, and finally to enable the planning, and implementation of adequate training, including the development of appropriate training materials. The training needs analysis, as well as subsequent training program design, the preparation of training materials and training will be supported by international/ national ESF consultants.

After the initial, more general training for all appointed ES focal points, in-depth procedural and technical knowledge/ skills need to be subsequently developed and manifested. General understanding of safeguard related processes and requirements is also required for other PCU members and management, as well as for staff of cooperating line agencies and organizations. They may participate in initial training sessions as appropriate, or separate briefing events might be organized/ conducted. Capacity building will include a combination of theoretical and practical trainings, as well as technical backstopping will be provided while applying ES instruments and tools described in this ESMF. Specific subject-matter expertise will be provided from appointed and/ or contracted resource persons. Important major training subjects/ topics include:

- Strategic Environmental and Social Assessment
- Standardized Environmental and Social Management Plan
- Site-specific Environmental and Social Management Plan
- Environmental Code of Practice
- Pest Management Plan
- List of Do's and Dont's Wildlife Trade and Consumption
- Standard Waste Management Procedure
- UXO related information and measures
- Labor Management Procedures including Codes of Conducts
- Incident Reporting and Response Procedure
- Community Health and Safety Plan
- Cultural Heritage Framework, Chance Find Procedures
- COVID-19 Response
- Gender-based violence and violence against children
- Stakeholder Analysis and Grievance Redress Mechanism
- Ethnic Group Development Framework
- Access Restriction and Resettlement Policy Framework
- ESF Implementation and Management (Monitoring, Supervision, Reporting, Data Management)

For each of these subjects, training materials and training organization/ agendas need to be developed in order to meet the needs of the target group/ beneficiaries. Trainings will be organized and conducted at all levels, at national, province, district, and village levels.

## **8.2 Technical Support**

Technical support and guidance of PCUs including ES focal points is required under current circumstances to ensure proper ES management and compliance as required by ESMF, SEP, and CEF. Main tasks of technical support include conducting an initial training needs analysis, designing a safeguard training program, developing training and awareness materials, as well as preparing/ conducting safeguard trainings and provide organizational/ technical backstopping to appointed safeguard focal points, especially at the national level. Technical support includes the following:

- International ESF consultant: intermittent inputs during year 1-6 (20 months);
- National ES consultants/ central (1 social/ 1 environment): fulltime support during the entire project duration;



- Junior consultants, 2 at central level, and 1 in each province;
- Female national counselor: intermittent as needed and appropriate.

The technical support team works closely together with appointed safeguard focal points at the central level, and are based at the National PCU at DoF, with frequent missions to project landscapes. Their support is guided and supervised by the NPCU.

### 8.3 Budget

To be able to implement all measures as described in the ESMF, and other ESF documents (e.g. SEP, CEF) dedicated budgets are required. A detailed budget has been developed, which is aligned to the main activities and commitments as of the ESMF which was updated annually based on experiences gained with implementing Annual Work Plans (AWP) so far. In this context, also detailed budgets for activities and commitments related to the SEP and the CEF have also been developed, and are a part of those documents. Table 9 below provides an overview of main the budget items for the implementation of the ESMF and the CEF, as well as the implementation of ESF under the responsibility of the DoE (more details are provided in Annex 21).

The budget required to implement ESMF is estimated at 1.622.500 US\$ for the entire project duration of 6 years. The total budget to implement ESMF, CEF and SEP is estimated at 2.629.250 US\$<sup>9</sup>. These budgets are integrated into the overall budget of the project, and disbursed in parts of the overall financial management under the responsibility of the PCUs. The appointed ES focal points support annual budgeting and planning of ESF related activities, as part of their responsibilities.

**Table 9: Budget Summary**

Budget lines and main activities	Budget (US\$)
<b>1 Implementation of the Environmental and Social Management Framework including Stakeholder Engagement Plan</b>	<b>1.622.500</b>
1.1 Review, update and disseminate ESF documents	56.500
1.2 Develop ESF model documents and ES assessment	189.000
1.3 Prepare, disclose and manage ESF documents and data <sup>10</sup>	572.000
1.4 ESF compliance monitoring, supervision and reporting	342.000
1.5 Grievance Redress	74.000
1.6 Equipment, protective gear and others	145.000
1.7 Training, awareness and 'lessons'	244.000
<b>2 Community Engagement Framework (CEF)<sup>11</sup></b>	<b>615.750</b>
<b>3 Implementation of ESF under DoE</b>	<b>391.000</b>
<b>Total</b>	<b>2.629.250</b>

<sup>9</sup> The budgets are indicative, based on current ESF 6-year work plan and budget. They will be reviewed/ adjusted as necessary/ appropriate annually.

<sup>10</sup> Including sub-projects related to PA civil works and green village infrastructure.

<sup>11</sup> Including participation of ESF team in piloting of land and forest tenure.

# Annexes

## Annex 01: Strategic Environmental and Social Assessment (SESA)

This Annex provides additional information on SESA specific to Chapter 5.2, such as on process, differences between SESA and ESIA, link to strategic decision making, selected methods and tools and contents of a SESA report.

### Differences between SESA and ESIA

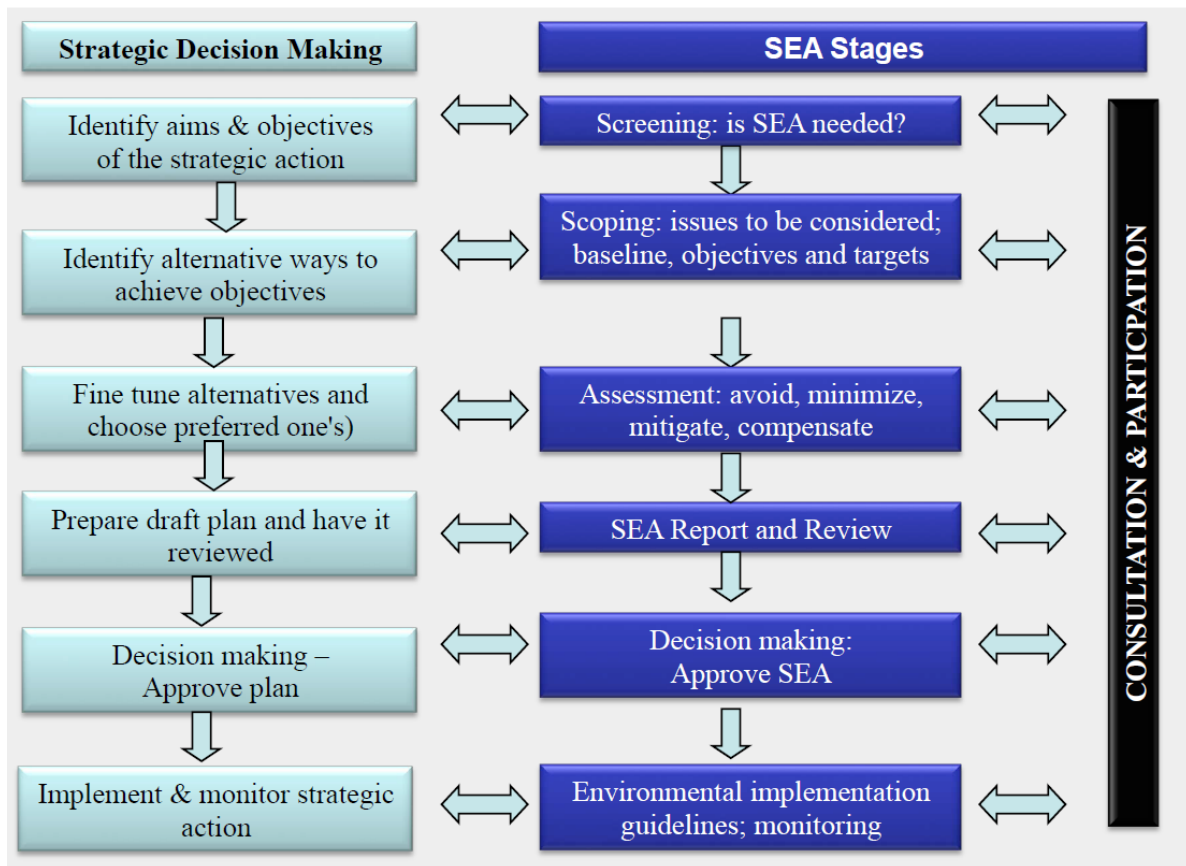
The design specifics of the project include (1) site-specific investments funded by the project such as construction of buildings, forest conservation, protection, and management activities, as well as green infrastructure and livelihood measures for which Environmental and Social Impact Assessment (ESIA) procedures and instruments will be applied, and (2) interventions such as industrial tree plantation and tourism developments within the priority landscapes that are not funded by the project, but will be assessed and evaluated by applying Strategic Environmental and Social Assessment (SESA).

Both approaches are characterized by common characteristics, such as to inform decision makers on environmental and social risks and impacts, they are related to the preparation of an approvable document (e.g. plan, program, policy), as well as follow similar methods and procedural steps (e.g. screening, scoping, assessment, mitigation, decision, and monitoring). However, they are also distinctly different in terms of their scope (e.g. SESA applies to policies, programs and plans; ESIA applies to site-specific projects and interventions) and other features (see Table below). SESA intends to establish conditions for sustainable environmentally sound and socially sensitive developments by influencing policies, programs, and plans (aiming at 'good strategy'), therefore its orientation is more longer term and strategic. In contrast to this, ESIA is assessing and mitigating environmental and social impacts and risks caused by site-specific developments such as project and interventions (aiming at 'good design'), therefore the perspective is of short-medium term.

SESA	ESIA
<ul style="list-style-type: none"> <li>• Aims at a good strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Aims at a good project/ investment design</li> </ul>
<ul style="list-style-type: none"> <li>• The perspective is strategic and long-term</li> </ul>	<ul style="list-style-type: none"> <li>• The perspective is of execution in the short and medium-term</li> </ul>
<ul style="list-style-type: none"> <li>• The process is cyclic and contiguous</li> </ul>	<ul style="list-style-type: none"> <li>• The process is discrete, motivated by concrete intervention proposal</li> </ul>
<ul style="list-style-type: none"> <li>• Follow-up of SESA is performed through policies, plans, programs</li> </ul>	<ul style="list-style-type: none"> <li>• Follow-up in ESIA is performed through site-specific investments/ activities</li> </ul>
<ul style="list-style-type: none"> <li>• Bigger uncertainties if strategies, policies, and programs are implemented</li> </ul>	<ul style="list-style-type: none"> <li>• Investments and projects requiring an ESIA are most likely implemented if feasible</li> </ul>

### SESA and Link to Strategic Decision Making

SESA and its results aim to influence longer term and strategic decisions manifested in policies, programs, and plans. To achieve this, SESA and its procedure need to be linked to the related strategic decision-making process. There are different possibilities, such as (1) they both start at the same time and are conducted in parallel (therefore allowing interactions at different stages, such as in the figure below), (2) SESA starts prior to the related decision-making process (in this case SESA results are available and can be used), or (3) both are integrated and tailored to a specific situation (similar to parallel implementation, but linkages are more sophisticated).



**Figure 4: Interaction Strategic Decision Making and SESA**

### SESA Process

Strategic Environmental and Social Assessment (SESA) is required under the World Bank ESF. It is a systematic examination of environmental and social risks and impacts, and issues, associated with a policy, plan or program, typically at the national level but also in smaller areas. The examination of environmental and social risks and impacts will include consideration of the full range of environmental and social risks and impacts incorporated in all ESSs. SESAs are typically not location-specific. They are therefore prepared in conjunction with project and site-specific studies that assess the risks and impacts of the project. Procedural requirements are provided by the Decision on SEA No. 0483/ MoNRE and consistent with ESF includes the following **steps**:

- **Screening (step 1):** Screening includes the selection and identification of environmental issues that may have the impacts during the development and improvement of policies, strategies, and programs. There is the exemption in case of the anticipation that there will not any environmental impacts thus it deems unnecessary to conduct the SEA. To conduct screening, there shall be reference to goals, objectives, and unique characteristics of policies, strategies, and programs in relation to environmental protection by each individual sector. In this regard, there shall be clear determination on necessity whether to conduct or not the SEA, followed by submission to the natural resources and environmental sector for technical recommendations.
- **Scoping (step 2):** Scoping is the selection, identification, and anticipation of environmental components, and the best alternative related to each individual topic including biodiversity, public health, soil and water quality, climate change, and others. To conduct scoping, there shall be verification of the impact level along with appropriate alternatives by collaborating with the natural resources and environmental sector.

- Data collection (step 3): In developing policies, strategies, and programs, the line sectors and local authorities shall collect original data on the environment, socio-economy, and relevant documents as references for anticipating impacts that may happen during implementation.
- Identifying alternatives (step 4): Identifying alternatives is the selection of the best alternative and identification of measures that are appropriate for the development and improvement of policies, strategies, and programs.
- Developing SEA (step 5): In developing policies, strategies, and programs, the line sectors and local authorities shall develop their own SEAs with relevance to the basic principles of SEA, the EPL, and other relevant laws. The SEA shall demonstrate the socio-economic and environmental indicators.
- Consultation (step 6): The line sectors shall organize consultation meetings with other relevant sectors and local authorities including people who may be affected by the development and implementation of the policies, strategies, and programs, followed by consolidating all of the participants' comments with the assessment then submit to the natural resources and environmental sector for consideration.
- Certifying SEA report (step 7): The natural resources and environmental sector shall be the person to analyze-consider and recommend the SEA report, particularly methodologies, and measures to avoid or mitigate the environmental impact in accordance with the proposals provided by line sectors and local authorities upon completion of receiving feedback from stakeholders for the reference to improve the SEA report.

This and requirements as of WBs ESS 1 provide overall guidance, for practical implementation purposes more details are required, which are provided in Annex 1. Besides this, it is recommended to use the guideline on 'Applying Strategic Environmental Assessment' developed by the Development Assistance Committee (DAC) of the Organization for Economic Co-operation and Development (OECD) in 2006. This guideline provides helpful information, as it includes generic processes and guidance, as well as provides various examples. Besides this, experiences from conducting strategic assessments in Lao PDR can be consulted.

### **Selected Methods and Tools**

- Multi-stakeholder dialogue (MSD) – due to the strategic and wider scope of SESA all relevant stakeholders need to participate, be consulted and contribute in the context of a MSD process. Stakeholders include various line Ministries/ sectors, Government representatives from national and sub-national level, research institutions, NGOs, civil society members, private sector entities, and community representatives. MSD helps to generate a common pool of knowledge, stimulates discussion on planning options, and provides opportunities for stakeholders to understand each other's interests. An MSD also ensures transparency on SESA process and results, leading to greater acceptance and legitimacy.
- Geographic Information System (GIS) – helps to generate relevant spatial data (e.g. administrative, biophysical, socio-cultural) and analyse them, helps to relate identified issues to areas of concern (e.g. land use changes), facilitates visualization of spatial data such as in maps and statistics
- Multi-criteria Analysis (MCA) – supports analysis of data based on a set of defined criteria (e.g. high conservation value assessment), such as for suitability (e.g. land suitability) and vulnerability (e.g. disaster risks) analysis, can support ranking of options/ alternatives
- Strengths, Weaknesses, Opportunities, and Threats analysis (SWOT) – a strategic analytical technique, that adopts a logical, subjective approach that assists in the structuring of ideas.
- Trend analysis – is the collection of facts, over a period of time to identify a pattern or trend in a given situation. Trend analysis needs to consider driving forces that may eventually change

current trends. Important tool to analyse important environmental, socio-economic, and cultural trends that could influence the feasibility and sustainability of identified options/ alternatives

- Benefit-cost analysis – is part and supports economic analytical work, particularly analyses benefits of different options/ alternatives in relation to occurred investment costs
- Expert opinion, knowledge, inputs – can help to compile initial information base, identify key issues, risks, and opportunities, as well as to guide guidance to SESA process and support the SESA report.
- Problem tree – helps to identify and structure symptoms, causes and root causes of environmental and social issues and concerns to be addressed
- Matrices – help to list the key issues, risks, and opportunities, as well as ranking and setting priorities

## Documentation of SESA Results

Once the initial steps, especially data collection, analytical work and the identification of alternatives of a SESA were completed, the results need to be documented in a report. It is important to ensure that such a report includes all necessary information and results, as well as is presented in an understandable way, yet provide technically sufficient details and descriptions. It is important that this report includes a precise executive summary that is understandable to all stakeholders to be consulted and involved in reviewing and commenting. Technical and other descriptions of results should be complemented by appropriate visualizations and graphics. A final **SESA report** should include the following main topics (OECD/ DAC):

- Key environmental and social risks and impacts and alternatives
- Stakeholder concerns including areas of agreement and disagreement, and recommendations for keeping stakeholders informed about the implementation of recommendations
- Proposed enhancement and mitigation measures
- The rationale for suggesting any preferred option and accepting any significant trade-offs
- The proposed implementation and monitoring plan
- The benefits that are anticipated and any outstanding issue that needs to be resolved
- Guidance to focus and streamline any required subsequent SEA or EIA process for subsidiary, more specific undertakings such as local plans, more specific programs, and particular projects

The **table of contents for SESA report**, which is presented below, includes main chapters and sub-chapters generated from different SESA examples (e.g. tourism, plantation, REDD). It can guide the documentation of SESA results conducted in the context of the LLL project.

## EXECUTIVE SUMMARY

### 1 Background and Introduction

1.1 Plantation/ Tourism and SESA

1.2 SESA Purpose and Objectives

1.3 The SESA Report

### 2 SESA Process, Methods, and Limitations

2.1 Overall Process

2.2 Methods Applied

(e.g. for baseline establishment/ data analysis, scoping/ assessment of potential adverse environmental/ social risks and impacts, prioritization of strategic options, )

## 2.3 Constraints and Limitations

### **3 Situation Description and Baseline**

#### 3.1 Environmental Baseline

(e.g. location, climate, and climate change, topography and drainage, land and forest cover, geology and soil, forests, biodiversity, water resources)

#### 3.2 Soc-economic and Cultural Baseline

(e.g. demography, economic situation, livelihoods, tenure/ land use, social services, poverty, ethnic groups, gender)

#### 3.3 Description of tourism/ plantation

(e.g. tourism developments/ investments, tourist statistics/ numbers, tourism products/ sites/ attractions; plantation area, tree species/ plantation models and management, pests/ diseases, plantation economics)

#### 3.4 Regulatory and institutional framework plantations/ tourism

(e.g. relevant national policies/ legislation, institutions involved, responsibilities and mandates, issues and challenges)

#### 3.5 Regulatory and institutional framework safeguards

(e.g. international commitments, national legislation, institutions involved, responsibilities and mandates, WB ESF, gaps)

### **4 Strategic Assessment of Tourism/ Plantation Developments**

#### 4.1 Tourism/ Plantation Developments

(e.g. description of tourism/ plantation related developments, and others of relevance)

#### 4.2 Potential Environmental Risks and Impacts

(e.g. description of anticipated environmental risks and impacts, as well as causes and root causes)

#### 4.3 Potential Social Risks and Impacts

(e.g. description of anticipated social risks and impacts, as well as causes and root causes)

#### 4.4 Potential Accumulative Environmental and Social Impacts

(e.g. description of anticipated accumulative environmental and social risks and impacts, as well as causes and root causes)

### **5 Tourism/ Plantation Development Options Strategic Scenarios**

#### 5.1 Business as usual

#### 5.2 Alternative options and scenarios

(e.g. low/ moderate/ high increase of plantation areas, use of different tree species/ management schemes; low/ moderate/ high number of tourists, various interventions to promote tourism)

#### 5.3 Assessment of alternative options and scenarios

(e.g. review/ evaluate alternative options/ scenarios in relation to their economic feasibility/ sustainability, significance/ magnitude of environmental and social risks and impacts)

## 6 Conclusion and Recommendations

(e.g. suggested options/ strategic scenarios and descriptions, mitigation measures, required follow-up)

### Draft Terms of Reference (TOR)

<b>Title:</b>	Environmental and Social Consultants for SESA in Industrial Tree Plantations
<b>Experts:</b>	1 International ES Expert/ 2 National Experts (Social/ Environment)
<b>Contracting Authority:</b>	Department of Forestry (DoF), Ministry of Agriculture and Forestry (MAF)
<b>Location:</b>	DoF, Vientiane Capital with trips to provinces
<b>Duration:</b>	12 months, intermittent within period June 2024 to May 2025

### I Background

The project development objective (PDO) of the proposed LLL project is ‘to promote sustainable forest management, improve protected area management, and enhance livelihoods opportunities in selected landscapes in Lao PDR’. It will be 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 other relevant line agencies, organizations and partners. The available investment budget accounts for 57,37 million US\$, which includes a loan of 50 million US\$ provided by the International Development Association (IDA), a grant of 7,37 million US\$ provided by the Global Environment Fund (GEF).

The project will support initially five priority forest landscapes within the Greater Annamites, which have been selected mainly based on their outstanding economic drivers such as available wood and non- wood products, and nature-based tourism potential, as well as profound environmental benefits related to climate change, biodiversity, natural disasters and erosion. The following five landscapes will be supported by the LLL project: (1) Greater Nam Et - Phou Louey, (2) Greater Phou Khao Khouay, (3) Khammouane Biodiversity Complex, (4) Savannakhet Production and Conservation Landscape, and (5) Northern Annamite. They are nested within the following eight provinces: Houaphan, Louang Prabang, Xiengkhouang, Xaysomboun, Bolikhamxay, Vientiane Province, Khammouane, Savannakhet, and Vientiane Prefecture. In total, 547 villages will benefit from the project, including an estimated 72.000 households and 396.000 people.

Expected outcomes of the LLL project include (i) improved sustainable forest management and livelihoods opportunities in selected landscapes, (ii) reduced flood, drought, and landslide risks to villages and infrastructure, (iii) good forest cover, balanced with stabilized and sustainable land use, (iv) good nature-based tourism products in and outside protected areas that meet market demand while managing carrying capacity concerns, and (v) globally significant biodiversity is better protected and greenhouse gas emissions are reduced. Activities and investments supported by the LLL project are related to the following 4 components:

- Investing in natural wealth and resilience in forest landscapes (component 1) intends to build natural capital from improved forest landscape management, which will help to secure multiple economic, environmental, climate, and resilience benefits. Climate and disaster risks will be reduced by maintaining and restoring forest cover, promoting soil and water conservation, and



others. Collaborative management of PA and Village Forest Management (VFM) in PFA and PtFA will be the main governance modalities. Enabling activities will leverage parallel private sector investment such as tree plantations and tourism development.

- Livelihood opportunities from sustainable forest landscapes (component 2) is closely linked to component 1 and targets the same villages. It intends to improve forest-smart livelihood opportunities, vocational skills, and nature-based tourism (NBT) within the landscapes. The project will provide Village Livelihood Block Grants (VLBGs) managed by the villages as revolving mechanisms, whereby 20% will be earmarked as grants to the most vulnerable village members. Besides this, the project will support vocational training, as well as the establishment of an NBT support facility.
- Institutions, incentives, and information (component 3) intends to strengthen institutions, policies, incentives, and information for sustainable forest landscapes. This component will support governance-related activities, as well as policy and regulatory development, inter-agency law enforcement coordination for illegal wildlife trade, environmental and social (ES) risk management, land and forest tenure, climate change monitoring, and natural capital valuation and impact assessments.
- Project management, monitoring, and learning (component 4) will support, maintain, and enhance project management, monitoring, and learning. It aims to ensure an efficient, transparent, and effective implementation of the project on the ground. Activities include project management, monitoring, learning and adaptive management, support to the GoL's resource mobilization, strategic communication, as well as regional coordination and dialogue.

SESA relates to sub-component 1.2 (especially 1.2.5 'enabling activities for private investments in environmentally and socially sustainable industrial tree plantation'), whereby the project will not finance the plantations or related investments, and only match-fund tourism-related investments. It also relates to Activity 3.1.5 'enhance the policy framework for environmentally and socially sustainable forest plantations.

Strategic assessment has been applied in different contexts in Lao PDR already, such as in the mining and hydropower sector, but also more recently related to climate mitigation efforts (e.g. Emission Reduction Program/ REDD+). Related experiences might be helpful and could inform related developments in the context of the LLL project.

## II Scope

The Strategic Environmental and Social Assessment (SESA) to be conducted and documented is a systematic examination of environmental and social risks and impacts, and issues, associated with industrial tree plantation developments. An integrated analytical and participatory approach will be applied that aims to integrate environmental and social considerations into industrial tree plantation developments, and at the same time evaluates linkages with socio-economic considerations/ developments. The SESA will be aligned to requirements of Lao legislations, especially the Environmental Protection Law, the ESAI Decree and the Decision on SEA by MoNRE, requirements of WB's ESF as specified in the ESMF of LLL project, as well as World Bank Group's (WBG) Environmental, Health and Safety (EHS) guidelines. The team of international and national ES experts will support DoF/ MAF and relevant stakeholders to conduct/ document a SESA for industrial tree plantations and related developments. The objectives include to assess potential negative ES risks and impacts of various development interventions including industrial plantations, explore different scenarios and appropriate mitigation measures, and ultimately ensure environmentally sound and socially beneficial developments within the five priority landscapes, and beyond.

### **III Detailed Tasks, Deliverables and Reporting**

#### *III A Inception Phase*

During the Inception Phase (June 2024), which aims to lay a firm foundation for quality and timely outputs/ deliverables, the consultants shall undertake the following activities:

- Review relevant documents including Lao PDR laws, policies and regulations;
- Identify and meet with key stakeholders;
- Detail the approach/ methodologies and steps required;
- Review available information/data and identify gaps;
- Prepare a work plan for delivery of the technical services and outputs.

Deliverable: Inception report (end June 2024).

#### *III B Implementation Phase*

During the Implementation Phase (July 2024 til May 2025), which aims to lay a firm foundation for quality and timely outputs/ deliverables, the consultants shall undertake the following activities:

- Conduct detailed/ comprehensive sectoral analysis, including institutional/ legal framework;
- Conduct detailed/ comprehensive analysis of industrial tree plantation developments/ projects, as well as compile relevant baseline information;
- Conduct detailed stakeholder analysis, including all relevant government agencies, NGOs, educational institutions and private sector;
- Identify/ evaluate environmental and social impacts related to industrial tree plantation developments;
- Identify/ evaluate related opportunities/ risks/ mitigation measures, as well as develop different scenarios and alternatives;
- Develop detailed SESA recommendations for industrial tree plantation developments/ investments;
- Support stakeholder consultations, including prepare presentations and documents, as well as record comments;
- Report periodically on work progress to NPMU/ DoF.

Deliverables: Draft, advanced and final SESA (31 May 2025).

### **IV Qualification**

The International ES Expert shall be selected based on the following criteria:

- Minimum master decree in environmental sciences and/or other related aspects (environmental engineering, fisheries, ecology, natural resources management, etc.) with extensive professional experience in Lao PDR.
- Minimum of 15 years of working experience including practical experience undertaking environmental impact/ risk assessment in the forestry/ plantation/ NRM sector in Lao PDR.

- Profound knowledge and experience of strategic environmental assessment and/or cumulative impact assessment methods and approaches; familiarity with Lao PDR policies, regulations and guidelines pertaining to EIA/ SEA.
- Excellent oral and written communication skills in English and good Lao language skills. Ability to clearly communicate environment and social issues in an easy to understand, non-technical manner. Willingness, ability, and experience to engage with key government agencies, industrial tree plantation developers/owners, local authorities and local communities, and other key stakeholders.
- Willingness and ability to work jointly with other experts hired by DoF for this assignment and to provide assistance when needed. Ability to provide advice and coaching to DoF staff on technical issues as needed.

The National ES Experts shall be selected based on the following criteria:

- Bachelor's in environmental management/ social sciences or closely related field.
- At least 7 years of relevant work experience, of which at least 3 years include World Bank Group operations, and significant relevant experience in Lao PDR.
- Experience working on the environmental and social impacts of forestry/ plantation related developments or related developments.
- Very good in English (verbally/ writing skills).
- Methodical, organized, proactive, and ability to work on competing demands across tasks and overlapping deadlines.
- Good knowledge of government departments and in general of Lao public system, legal framework, political economy as related to natural resource governance.

## **V Contractual Arrangements**

This is a part-time, intermittent service contract to be signed between a Consultant Company and DoF/ MAF. The expected contract duration is 12 months between June 2024 and 31 May 2025.

Selection of the Consultant Company will follow the World Bank procurement guideline applied to LLL project.

The Consultant Company is required to submit deliverables as describe to the time schedule agreed with DoF in the inception and implementation phase. DoF will share draft deliverables with other stakeholders (e.g. MONRE), and WB for comment prior to approval.

The Consultant Company shall submit monthly invoices to NPMU/ DoF, detailing input days, work undertaken and outputs delivered. Invoices will be reviewed, verified and approved by NPMU/ DoF. Payment will be made by DoF to the Consultant Company.

DoF will provide access to required information, data and documents, and will facilitate introductions and meetings with government agencies, forestry/ plantation companies and other organizations as requested by the consultants.

The consultants are required to reside in Vientiane, Lao PDR; per diem provided only for domestic missions. No international travel, housing, or relocation benefits provided.

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The project will support initially five priority forest landscapes within the Greater Annamites, which have been selected mainly based on their outstanding economic drivers such as available wood and non- wood products, and nature-based tourism potential, as well as profound environmental benefits related to climate change, biodiversity, natural disasters and erosion. The following five landscapes will be supported by the LLL project: (1) Greater Nam Et - Phou Louey, (2) Greater Phou Khao Khouay, (3) Khammouane Biodiversity Complex, (4) Savannakhet Production and Conservation Landscape, and (5) Northern Annamite. They are nested within the following eight provinces: Houaphan, Louang Prabang, Xiengkhouang, Xaysomboun, Bolikhamxay, Vientiane Province, Khammouane, Savannakhet, and Vientiane Prefecture. In total, 547 villages will benefit from the project, including an estimated 72.000 households and 396.000 people.

Expected outcomes of the LLL project include (i) improved sustainable forest management and livelihoods opportunities in selected landscapes, (ii) reduced flood, drought, and landslide risks to villages and infrastructure, (iii) good forest cover, balanced with stabilized and sustainable land use, (iv) good nature-based tourism products in and outside protected areas that meet market demand while managing carrying capacity concerns, and (v) globally significant biodiversity is better protected and greenhouse gas emissions are reduced. Activities and investments supported by the LLL project are related to the following 4 components:

- Investing in natural wealth and resilience in forest landscapes (component 1) intends to build natural capital from improved forest landscape management, which will help to secure multiple economic, environmental, climate, and resilience benefits. Climate and disaster risks will be reduced by maintaining and restoring forest cover, promoting soil and water conservation, and others. Collaborative management of PA and Village Forest Management (VFM) in PFA and PtFA will be the main governance modalities. Enabling activities will leverage parallel private sector investment such as tree plantations and tourism development.
- Livelihood opportunities from sustainable forest landscapes (component 2) is closely linked to component 1 and targets the same villages. It intends to improve forest-smart livelihood opportunities, vocational skills, and nature-based tourism (NBT) within the landscapes. The project will provide Village Livelihood Block Grants (VLBGs) managed by the villages as revolving mechanisms, whereby 20% will be earmarked as grants to the most vulnerable

village members. Besides this, the project will support vocational training, as well as the establishment of an NBT support facility.

- Institutions, incentives, and information (component 3) intends to strengthen institutions, policies, incentives, and information for sustainable forest landscapes. This component will support governance-related activities, as well as policy and regulatory development, inter-agency law enforcement coordination for illegal wildlife trade, environmental and social (ES) risk management, land and forest tenure, climate change monitoring, and natural capital valuation and impact assessments.
- Project management, monitoring, and learning (component 4) will support, maintain, and enhance project management, monitoring, and learning. It aims to ensure an efficient, transparent, and effective implementation of the project on the ground. Activities include project management, monitoring, learning and adaptive management, support to the GoL's resource mobilization, strategic communication, as well as regional coordination and dialogue.

SESA for industrial tree plantations relates to sub-component 1.2 (especially 1.2.5 'enabling activities for private investments in environmentally and socially sustainable industrial tree plantation'), whereby the project will not finance the plantations or related investments. It also relates to Activity 3.1.5 'enhance the policy framework for environmentally and socially sustainable forest plantations'. SESA for tourism relates to sub-component 2.3 'Nature-based tourism leveraging facility', that intends to strengthen the development of nature-based tourism by encouraging private sector participation, especially small and medium enterprises (SMEs) in and around Protected Areas. This includes match-funding of relevant infrastructure.

Strategic assessment has been applied in different contexts in Lao PDR already, such as in the mining and hydropower sector, but also more recently related to climate mitigation efforts (e.g. Emission Reduction Program/ REDD+). Related experiences might be helpful and could inform related developments in the context of the LLL project.

## **II Scope**

The Strategic Environmental and Social Assessment (SESA) to be conducted and documented is a systematic examination of environmental and social risks and impacts, and issues, associated with industrial tree plantation developments (nature-based tourism developments). An integrated analytical and participatory approach will be applied that aims to integrate environmental and social considerations into industrial tree plantation developments (nature-based tourism developments), and at the same time evaluates linkages with socio-economic considerations/developments. The SESA will be aligned to requirements of Lao legislations, especially the Environmental Protection Law, the ESAI Decree and the Decision on SEA by MoNRE, requirements of WB's ESF as specified in the ESMF of LLL project, as well as World Bank Group's (WBG) Environmental, Health and Safety (EHS) guidelines. The team of international and national ES experts will support DoF/ MAF and relevant stakeholders to conduct/ document a SESA for industrial tree plantations and related developments (for nature-based tourism and related developments). The objectives include to assess potential negative ES risks and impacts of various development interventions related to industrial plantations (nature-based tourism), explore different scenarios and appropriate mitigation measures, and ultimately ensure environmentally sound and socially beneficial developments within the five priority landscapes, and beyond.

## **III Detailed Tasks, Deliverables and Reporting**

### *III A Inception Phase*

During the Inception Phase (June 24), which aims to lay a firm foundation for quality and timely outputs/ deliverables, the consultants shall undertake the following activities:

- Review relevant documents related to industrial tree plantations (nature based tourism) including Lao PDR laws, policies and regulations;
- Identify and meet with key stakeholders relevant to industrial tree plantations (nature based tourism);
- Detail the approach/ methodologies and steps required;
- Review available information/data related to industrial tree plantation (nature based tourism) and identify gaps;
- Prepare a work plan for delivery of the technical services and outputs.

Deliverable: Inception report (end June 24).

### *III B Implementation Phase*

During the Implementation Phase (July 24 til May 25), which aims to lay a firm foundation for quality and timely outputs/ deliverables, the consultants shall undertake the following activities:

- Conduct detailed/ comprehensive sectoral analysis related to industrial tree plantation (nature based tourism), including institutional/ legal framework;
- Conduct detailed/ comprehensive analysis of industrial tree plantation developments/ projects (nature based tourism developments/ projects), as well as compile relevant baseline information;
- Conduct detailed stakeholder analysis for industrial tree plantations (nature based tourism), including all relevant government agencies, NGOs, educational institutions and private sector;
- Identify/ evaluate environmental and social impacts related to industrial tree plantation developments (nature based tourism investments/ developments);
- Identify/ evaluate related opportunities/ risks/ mitigation measures, as well as develop different scenarios and alternatives;
- Develop detailed SESA recommendations for industrial tree plantation developments/ investments (nature based tourism investments/ developments);
- Support stakeholder consultations, including prepare presentations and documents, as well as record comments;
- Report periodically on work progress to NPMU/ DoF.

Deliverables: Draft, advanced and final SESA (31. May 25).

### **IV Qualification**

The International ES Expert shall be selected based on the following criteria:

- Minimum master decree in environmental sciences and/or other related aspects (environmental engineering, ecology, natural resources management, forestry, tourism etc.) with extensive professional experience in Lao PDR.
- Minimum of 15 years of working experience including practical experience undertaking environmental impact/ risk assessment in the forestry/ plantation/ NRM sector (tourism sector/ nature-based tourism) in Lao PDR.

- Profound knowledge and experience of strategic environmental assessment and/or cumulative impact assessment methods and approaches; familiarity with Lao PDR policies, regulations and guidelines pertaining to EIA/ SEA.
- Excellent oral and written communication skills in English and good Lao language skills. Ability to clearly communicate environment and social issues in an easy to understand, non-technical manner. Willingness, ability, and experience to engage with key government agencies, industrial tree plantation developers/owners, local authorities and local communities, and other key stakeholders.
- Willingness and ability to work jointly with other experts hired by DoF for this assignment and to provide assistance when needed. Ability to provide advice and coaching to DoF staff on technical issues as needed.

The National ES Experts shall be selected based on the following criteria:

- Bachelor's in environmental management/ social sciences or closely related field.
- At least 7 years of relevant work experience, of which at least 3 years include World Bank Group operations, and significant relevant experience in Lao PDR.
- Experience working on the environmental and social impacts of forestry/ plantation (tourism/ nature based tourism) related developments or related developments.
- Very good in English (verbally/ writing skills).
- Methodical, organized, proactive, and ability to work on competing demands across tasks and overlapping deadlines.
- Good knowledge of government departments and in general of Lao public system, legal framework, political economy as related to natural resource governance.

## **V Contractual Arrangements**

This is a part-time, intermittent service contract to be signed between a Consultant Company and DoF/ MAF. The expected time input required is 12 months between June 2024 and 31 May 2025.

Selection of the Consultant Company will follow the World Bank procurement guideline applied to LLL project.

The Consultant Company is required to submit deliverables as describe to the time schedule agreed with DoF in the inception and implementation phase. DoF will share draft deliverables with other stakeholders (e.g. MONRE), and WB for comment prior to approval.

The Consultant Company shall submit monthly invoices to NPMU/ DoF, detailing input days, work undertaken and outputs delivered. Invoices will be reviewed, verified and approved by NPMU/ DoF. Payment will be made by DoF to the Consultant Company.

DoF will provide access to required information, data and documents, and will facilitate introductions and meetings with government agencies, forestry/ plantation companies and other organizations as requested by the consultants.

The consultants are required to reside in Vientiane, Lao PDR; per diem provided only for domestic missions. No international travel, housing, or relocation benefits provided.

## **Annex 02: Eligibility Screening, 'Negative Checklist'**

This Annex 02 is referenced in Chapter 5.1, especially in Table 6 (step 1 of the ES Process for Sub-projects and Investments). The 'negative checklist' below includes not acceptable/ prohibited

action, investments, and impacts in the context of the LLL project. All sub-projects, activities, and investments funded by the LLL project will be screened by appointed ES FPs against this list, and such can result in the following 2 cases (see also Sub-chapter 5.1/ table 6):

- Case 1: No match has been determined. In this case the sub-project proposal can pass on to the next step of the ES Process for Sub-projects and Investments (step 2 ‘Scoping’);
- Case 2: One or more matches with noneligible items. In this case the sub-project proposal will be discarded or refined by the proponent by removing them from the proposal, and refine it accordingly. After this, the proposal will need to be re-submitted.

**Table 10 Negative Checklist**

No.	Description of Items	Yes	No
1	New settlements or expansion of existing settlements inside natural forest habitats and within existing or proposed protected areas. Villages that have been physically resettled during the last 5 years and planned to be physically resettled during the next 5 years (5+5 policy only applied under physical consolidation and resettlement of households and villages).		
2	New feeder/ access roads, or rehabilitation of existing ones or track upgrading of any kind inside natural habitats and in TPZ of existing or proposed protected areas.		
3	Village forestry operations, including harvesting of timber and NTFP’s without an approved management plan.		
4	Forestry operations, including logging, harvesting or processing of timber on land or in watersheds in a manner is likely to contribute to a village’s increased vulnerability to natural disasters.		
5	Village forestry related operations, including harvesting, or processing of timber and non timber products in or from land that is known as critical habitat for endangered plant or animal species.		
6	Conversion or degradation of natural habitat and any unsustainable exploitation of natural resources including NTFPs.		
7	Purchase of guns, destructive hunting and fishing gears, chain saws, dynamite, banned chemicals, asbestos, and other investments detrimental to the environment, and the general purchase of goods intended for military use or luxury consumption.		
8	Purchase of pesticides, insecticides, herbicides, and other dangerous chemicals exceeding the amount required to treat efficiently the infected area and which are banned in Lao PDR and by WHO regulations.		
9	Introduction of non-native species, unless these are already present in the vicinity or known from similar settings to be non-invasive, and introduction of genetically modified plant varieties into a designated project area.		
10	Production or trade of wildlife and wildlife products or other products or activity deemed illegal under Lao PDR laws, regulations, or international conventions and agreements, or subject to international bans.		
11	The production, processing, handling, storage, or sale of tobacco/ opium or products containing tobacco/ opium.		
12	“Large dams” which are defined as dams with a height of 15 meters or greater from the lowest foundation to crest or dams between 5 meters and 15 meters impounding more than 3 million cubic meters; and all other dams regardless of size or retention capacity (referred to as “small dams”) that (i) could cause safety risks, such as an unusually large flood-handling requirement, location in a zone of high seismicity, foundations that are complex and difficult to prepare, retention		



No.	Description of Items	Yes	No
	of toxic materials, or potential for significant downstream impacts, or (ii) are expected to become large dams during their operating life.		
13	Physical relocation and/or demolition of residential structures of households.		
14	Creation of adverse significant impacts on local people including ethnic groups that are not acceptable to them, even with the mitigation measures developed in their participation.		
15	Use of subprojects or activities as an incentive and/or a tool to support and/or implement involuntary resettlement of local people and village physical consolidation. Project finance and resources cannot be used in villages that were physically consolidated during the last 5 years and is planned to be physically consolidated or resettled during the next 5 years.		
16	Moderate to significant damage or loss to cultural property, including sites having archaeological (prehistoric), paleontological, historical, religious, cultural, and unique natural values.		
17	Trade-in any products with businesses engaged in exploitive environmental or social behavior; or engaged in any unauthorized activities especially those related to natural resources.		
18	Sub-projects that require an EIA.		
19	Labor and working conditions involving harmful, exploitative, involuntary or compulsory forms of labor, forced labor, child labor or significant occupational health and safety issues.		

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 03: Scoping of ES Risks and Impacts

This Annex 03 is referenced in Chapter 5.1, especially in Table 6 (step 2 of the ES Process for Sub-projects and Investments). It includes the ES Scoping Form that will be used by appointed ES focal points (SFP) within the Project Coordination Units (PCU) to detect/ scope out potential adverse environmental and social risks and impacts of proposed sub-projects/ activities and investments. It will help to identify relevant Environmental and Social Standards (ESS), establish E&S risk rating, and specify further environmental and social assessments and specific instruments. Besides this, it allows to scope out mitigation measure. The completed ESS screening form will be signed by persons in charge; and will be filed at PCUs Project.

**Table 11: 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, access roads, irrigation schemes and water protection structures?			ESS1	SS-ESMP IEE ECOP COC
Does the sub-project involve the recruitment of workers including direct, contracted, primary supply, and/or community workers?			ESS2	LMP
Does the sub-project require the procurement/ application of agro-chemicals including pesticides in larger amounts (beyond average/ suggested use intensity)?			ESS3	PMP
Is there a sound capacity in place to control/ monitor the proper application of agro-chemicals, including pesticides?			ESS3	PMP
Is the sub-project located in UXO contaminated areas, and poses considerable risks towards community health and safety?			ESS4	UXO survey and clearance sub-plan

Does the sub-project present considerable Gender-Based Violence (GBV) and Sexual Exploitation and Abuse (SEA) risk?			ESS4	CoC/ SEA, GBV
Does the sub-project involve security or military personnel in construction, operation, and activities?			ESS4	SRA (no longer relevant as the PKK NP is handed over from the MOD to the MPAF)
Does the sub-project require land acquisition?			ESS5	RPF
Does the sub-project cause temporary or permanent loss of land, or access to land and other resources?			ESS5	RPF and ARF
Is the sub-project located within or in the vicinity (within 50 m) of any natural habitat?			ESS6	SS-ESMP/ List of Do's and Don'ts Wildlife Trade and Consumption
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	EGDF
Is the sub-project located within or in the vicinity of any known cultural heritage sites?			ESS8	Cultural Heritage Framework (CHF) (a list of Dos and Don'ts and the Chance Finds Procedure).
Will the sub-project negatively affect scenic vistas and areas with high tourism potential?			ESS8	Cultural Heritage Framework (CHF) (a list of Dos and Don'ts and the Chance Finds Procedure).

Does the sub-project pose risks of creating social conflicts?			ESS10	GRM
Does the irrigation scheme situate in any river, canal, lake, or similar body of water that forms a boundary between, or any river or body of surface water that flows through two states?			OP 7.5	If the answer is yes, the PMU needs to inform riparian countries or the Mekong River Commission (MRC)

**Conclusions:**

**1. Is EIA required, provide Justifications.**

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

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

.....

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 04: Standardized Environmental and Social Management Plan**

The Standardized Environmental and Social Management Plan (S-ESMP) identifies potential adverse and non-site-specific ES risks and impacts of initial project activities within the 5 LLL landscapes, as well as identifies and describes appropriate and standardized tools and measures to manage and mitigate them.

Initial activities addressed by S-ESMP's include for example visits by project staff, volunteers and consultants for meetings, community consultations and Free Prior Informed Consent (FPIC), forest and land use zoning, participatory action planning, training, as well as monitoring and supervision. It also addresses field activities such as biodiversity surveys and forest inventories, boundary demarcation, patrolling and law enforcement, fire control/ management, research, outreach, extension, vocational education and community engagement. ES risks and impacts that are avoided and mitigated by S-ESMPs include for example environmental pollution due to littering, illegal consumption and trade of wildlife, spreading of communicable diseases, accidents, Gender Based Violence (GBV) and Sexual Exploitation and Abuse (SEA).

The development of S-ESMPs follows the ES process and steps as described in Chapter 5.1, Table 6. The process includes 'eligibility screening' of initial activities, as well as screening of non-site specific ES risks/ impacts. Based on this, standardized tools and measures are selected to avoid and mitigate them appropriately, which is documented in the ESMP matrix that also includes responsibilities, timing and budget. All relevant procedures and applied instruments are briefly described in S-ESMPs and all required formats are attached, so that it is functioning also as a reference and information source and provides guidance for ES focal points and other relevant project staff.

Central level ES focal points facilitate the formulation of S-ESMPs, in close cooperation with the ES focal points in the participating provinces and districts of each particular landscape. Technical support and backstopping is provided by the ESF Consultant team. Relevant stakeholders of the landscapes are involved and consulted, such as in the context of activities related to community engagement, such as Free Prior Informed Consent (FPIC), forest land use zoning (FLUZ) and Community Action Plans (CAP).

The following Table of Contents (ToC) including Annex were agreed and applied:

<b>1</b>	<b>Introduction and Rational</b>
<b>2</b>	<b>LLL Project Background</b>
<b>3</b>	<b>Landscape Characteristics</b>
3.1	General
3.2	Landscape-specific Environmental Features
3.3	Landscape-specific Socio-cultural Features
<b>4</b>	<b>Applicable Environmental and Social Standards and National Legislation</b>
4.1	Environmental and Social Standards
4.2	National Legislation
<b>5</b>	<b>Risks and Impacts Addressed by this S-ESMP</b>
5.1	Potential Adverse Environmental Risks and Impacts
5.2	Potential Adverse Social Risks and Impacts
<b>6</b>	<b>Processes, Tools and Mitigation Measures Applied under this S-ESMP</b>
6.1	Processes
6.2	Tools and Measures to Mitigate Environmental and Social Risks and Impacts
6.3	The Environmental and Social Management Plan Matrix

**7 Relevant Processes and Tools not Applied under this S-ESMP**

**8 Implementation, Disclosure and Monitoring of this S-ESMP**

8.1 Implementation Arrangement and Responsibilities

8.2 Clearance and Disclosure

8.3 Monitoring, Inspection and Reporting

8.4 Grievance Redress Mechanism

**9 Budget**

**Annex**

Annex 01: LLL Project Area and Location of the Greater Nam Et-Phou Louey Landscape

Annex 02: Detailed Maps

Annex 02a: Greater Nam Et-Phou Louey Landscape Map

Annex 02b: UXO Map Lao PDR

Annex 03: Environmental and Social Risks and Impacts not Addressed by this S-ESMP

Annex 04: Results of Eligibility Screening

Annex 05: Results of ES Risks/ Impact Screening

Annex 06: Lists Do's and Don'ts Wildlife and Waste

Annex 07: Code of Conduct (CoC) - Project Staff, Volunteers, Consultants

Annex 08: Labor Management Procedure

Annex 09: Covid Hygienic Precautionary Measures

Annex 10: S-ESMP Compliance Monitoring Form

Annex 11: Grievance Monitoring Form 'Village Logbook'

## Annex 05: Site-specific Environmental and Social Management Plan

This Annex 05 is referenced in Chapter 5.1, especially in Table 6 (step 3,4 and 5 that relate to 'SS-ESMP' as part of the ES Process for Sub-projects and Investments). It includes the assessment of environmental and social risks and impacts (step 3, different matrix), guidance on how to develop a SS-ESMF including a generic SS-ESMP planning matrix (step 4), as well as a format to monitor SS-ESMP compliance (step 5)<sup>12</sup>.

### Assessment of Environmental Risks and Impacts

This assessment matrix should be filled out for each proposed sub-project/ activity/ investment by the environmental and social focal points in cooperation/ consultation of affected beneficiaries 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. Please fill out part A and C for all sub-projects/ investments, part B select specifics in accordance to the sub-project/ investment. Any other follow up action that might be required can also be indicated.

**Table 12: Assessment Matrix - Environmental Risks and Impacts**

<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	Yes	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/ endangered species			
• Other important environmental feature			

<sup>12</sup> For access road sub-projects IEE is required and will be applied in accordance to the updated EIA Decree (2022), the MoNRE guideline 2812 (25.08.23) and WB ESF requirements (step 3 and 4).

Screening Categories/ Questions	Yes	No	Comments/ suggestions (e.g. magnitude, mitigation measures)
<b>B Investment specific Potential Environmental Impacts</b>			
<b>B1: Access road/ trails specific questions</b>			
1. Encroachment on historical/ cultural areas; disfiguration of the landscape by road embankments, cuts, fills, or quarries?			
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 and water protection 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)?			



Screening Categories/ Questions	Yes	No	Comments/ suggestions (e.g. magnitude, mitigation measures)
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?			
13. Inadequate buffer zone around pumping and treatment plants to alleviate noise and other possible nuisances, and to protect facilities from contamination, etc.?			
14. Is the irrigation scheme situated in any river, canal, lake, or similar body of water that forms a boundary between, or any river or body of surface water that flows through two or more states <sup>13</sup>			
<b>B3: Civil work/ buildings specific questions</b>			
1. Eventual degradation of water bodies due to the discharge of wastes and other effluents from plant or facility complex (water pollution, use of hazardous fluids/ chemicals)?			
2. Serious contamination of soil and groundwater?			
3. Aggravation of solid waste problems in the area, or disease transmission from inadequate waste disposal?			
4. Short-term construction impacts (e.g. soil erosion, deterioration of water and air quality, dust in sensitive areas, noise, and vibration from construction equipment)?			
5. Environmental degradation (e.g. erosion, soil and water contamination, loss of soil fertility, disruption of wildlife habitat) from the intensification of agricultural land use to supply raw materials for plant operation or other effects?			
6. Accidental release of potentially hazardous solvents, acidic and alkaline materials?			
7. Is cutting of vegetation/ trees required? Extend.			
8. Is the construction site characterized by steep slopes/ high risk of erosion (cover/ soil type, vicinity, soil 'closure'/ concrete)?			
9. Is an extensive amount of earthwork required? Extend.			
10. Compaction of soil due to use of heavy machinery/ extend (soil type, machinery types/ weight, working hours)?			

<sup>13</sup> In such as case, the NPCU is required to inform that riparian country or countries (OP 7.5 on International Waterways)..

Screening Categories/ Questions	Yes	No	Comments/ suggestions (e.g. magnitude, mitigation measures)
11. Is water pollution likely due to e.g. earthwork (earthwork, slope, vicinity to water)?			
12. Negative impacts on wildlife (e.g. wildlife consumption/ buying by workers)			
13. Extensive air pollution during site preparation/ construction work (dust, emission of fumes/ hazardous substances)?			
14. Introduction/ use or promotion of invasive species?			
15. Reduction of ground water/ other impacts on ground water bodies?			
16. Alteration of flow of rivers/ streamflow?			
17. Risks of landslides/ flooding of construction site			
<b>B4: 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?			
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:****Is EIA required? Provide Justifications.**

- .....

■ .....  
**Proposed Follow-up, specific ESMP/ ES instruments to be applied:**  
.....

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:.....

### 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 7), to confirm their significance, identify mitigation measures and required follow up.

**Table 13: Assessment Matrix – Ethnic Minority Groups**

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			
<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?			
Potential impacts on ethnic minority people			
Project activity	Anticipated positive effect	Anticipated negative effect	

Categorization of significance of impacts	
<input type="checkbox"/> If EIA is required – reject 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	
Assessment matrix compiled by:	
Name:	Signature:
Designation:	
Date:	
Assessment matrix verified by:	
Name:	Signature:
Designation:	
Date:	

### 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.

**Table 14: Assessment Matrix – Land Acquisition and Resettlement**

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 sub-project require land acquisition for development (public or private, temporary or permanent)?			
Does the sub-project 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 sub-project result in involuntary resettlement of individuals or families?			
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?			
Information on affected people			
Any estimate of the likely number of households that will be affected by the project? [ ]			
Yes; [ ] 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"/> If EIA is required – reject 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	
Assessment matrix compiled by:	
Name:	Signature:
Designation:	
Date:	
Assessment matrix verified by:	
Name:	Signature:
Designation:	
Date:	

**Developing the SS-ESMP**

Merely identifying and assessing potential and adverse environmental and social risks and impacts of sub-projects and investments does not ensure that those risks and impacts are

avoided, reduced and/or mitigated. Even identifying mitigation measures does not ensure that impacts (whether identified or un-anticipated) will be avoided. It is necessary to identify action of monitoring and feedback that will detect whether mitigation measures are effective and whether un-anticipated impacts are occurring. This program of monitoring and feedback and the required responses constitutes the site-specific Environmental Social Management Plan (SS-ESMP). It should include clear descriptions of the following:

- The allocation of responsibility for carrying out mitigation, monitoring and responses to monitoring data;
- The lines of reporting and decision-making for monitoring and subsequent decision-making;
- The indicators which will be monitored, and the frequency with which they will be monitored;
- The form of record keeping of monitoring data;
- The frequency of reporting of monitoring results;
- The levels of monitored indicators (decision points) at which action must be taken; and
- Type(s) of action that must be taken in each situation.

The SS-ESMP will consist of a text part that introduces briefly to the sub-project and the issues mentioned above and a planning matrix with details (see next page). The table of contents of a ESMP may include:

- Introduction (description of sub-project, objective, activities),
- Summary of Applicable Legislations and Policies (listing/ description of applicable laws, decrees, regulations, referring to applicable WB ESS),
- Description of Potential Environmental and Social Risks and Impacts (based on/ a summary of the assessment results),
- Description of Mitigation Measures (to reduce/ minimize detected potential adverse environmental and social risks/ impacts)
- Summary of Monitoring, Arrangement and Budget (indicators, timing, responsibilities, budget)
- Annex including the ESMP matrix, and others as appropriate (e.g. maps, spatial information)





**Monitoring of SS-ESMP compliance**

The field monitoring form (Table 16, below) needs to be filled out by ES focal points of DPCUs during regular field missions to monitor the compliance of agreed action and mitigation measures for sub-project/ investment related SS-ESMPs in consultation of affected beneficiaries and key stakeholders.

**Table 16: SS-ESMP Compliance Field 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	Good	Satisfactory	Poor	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:			

## **Annex 06: Good Practice – Selected Examples**

This Annex relates to Chapter 4.3 and 4.4, as it provides some more details on selected mitigation measures related to potential adverse environmental and social risks and impacts that could occur due to sub-projects, activities and investments funded by the LLL project. In the context of reviewing and refining the ESMF, this Annex can be amended, by adding more examples or adding more details of provided examples.

### **Zoning and demarcation of Protected Areas/ Protection Forests**

To mitigate potential adverse risks and impacts on communities/ indigenous people resulting from zoning funded by the LLL project (especially the Totally Protected Zone) and demarcation of boundaries of protected areas ('restrictions on land use', ESS 5), and other forest categories such as protection forests, the following is suggested to guide mitigation:

- ✓ Follow national regulations on PA management, zoning and boundary demarcation;
- ✓ Ensure that sufficient land for food production/ security and livelihood requirements of affected communities/ households by linking such zoning to participatory village land use planning;
- ✓ Embed such zoning into free, prior, and informed consent processes, as well as ensure that potential complaints are taken care of by the grievance redress mechanism;
- ✓ Use high-resolution satellite imagery and appropriate maps/ scales to communicate and discuss zoning related options/ proposals with affected villagers/ households;
- ✓ Link zoning and demarcation of protected areas to village level land use planning, integrate agreed boundaries of zones into future land use maps and attach it to related agreements signed by the villages, district authorities, protected area units and district vice governor;
- ✓ Include and consult affected villages/ households including ethnic minorities, vulnerable groups and women into the zoning process and demarcation of boundaries to ensure all villages with existing usage inside NPAs are consulted;
- ✓ Document all related consultations and meetings, ensure that they are signed by representatives of the different parties, as well as share them with all concerned, including the villages.

### **Application of agro-chemicals including pesticides**

To mitigate potential adverse risks and impacts on community health and safety (ESS 4) and biodiversity conservation (ESS 6) resulting from an increased application of agro-chemicals including pesticides in the context of livelihood developments supported by LLL project, the following is suggested to guide mitigation:

- ✓ Enforce Regulation on the Control of Pesticides No 2860/ MAF (February 2010), include list of banned agro-chemicals and pesticides.
- ✓ If applied, the use of pesticides should be minimized/ to be managed to avoid contamination/ pollution of water and land, and be integrated into Integrated Pest Management approach, which would include a cultural practices, biological control, and resilient genetic strains.
- ✓ Where feasible, the following alternatives to pesticides should be considered:
  - Provide those responsible for deciding on pesticides application with training in pest identification, weed identification, and field scouting

- Introduction of crop and tree inter-planting.
  - Use of pest-resistant crop varieties
  - Support and use of beneficial organisms, such as insects, birds, mites, and microbial agents, to perform biological control of pests
  - Protect natural enemies of pests by providing a favourable habitat, such as bushes for nesting sites and other original vegetation that can house pest predators
- ✓ If pesticide application is warranted the following precautions to reduce the likelihood of environmental impacts should be used:
- Train personnel to apply pesticides and ensure that personnel have received applicable certifications or equivalent training where such certifications are required
  - Review the manufacturer's directions on maximum recommended dosage or treatment as well as published reports on using the reduced rate of pesticide application without loss of effect, and apply the minimum effective dose
  - Apply pesticides based on criteria such as field observations, weather data, time of treatment, and dosage, and maintain a pesticide logbook to record such information
  - Avoid the use of pesticides that fall under the World Health Organization Recommended Classification of Pesticides by Hazard Classes 1a and 1b.
  - Avoid the use of pesticides that fall under the World Health Organization Recommended Classification of Pesticides by Hazard Class II
  - Avoid the use of pesticides listed in Annexes A and B of the Stockholm Convention, except under the conditions noted in the Convention
  - Use only pesticides that are manufactured under license and registered and approved by the appropriate authority and in accordance with the Food and Agriculture Organization's (FAO's) International Code of Conduct on the Distribution and Use of Pesticides
  - Use only pesticides that are labeled in accordance with international standards and norms, such as the FAO's Revised Guidelines for Good Labeling Practice for Pesticides
  - Select application technologies and practices designed to reduce unintentional drift or runoff only as indicated in an IPM program, and under controlled conditions
  - Maintain and calibrate pesticide application equipment in accordance with manufacturer's recommendations
  - Establish untreated buffer zones or strips along water sources, rivers, streams, ponds, lakes, and ditches to help protect water resources
  - Avoid use of pesticides that have been linked to localized environmental problems and threats.
- ✓ To prevent, reduce, or control the potential contamination of soils, groundwater, or surface water resources, which may result from accidental spills during transfer, mixing, and storage, pesticides should be stored and handled in accordance with the recommendations for hazardous materials management in the FAO Guidelines.
- ✓ Integrate specific enquiry in CEF process to village use of pesticides and fertilizers. This includes an assessment of the knowledge base of those villages that work within local commercial crop plantations.

Evaluate locations of possible land and water contamination, causes and effects. Erect signboards in local language that caution risks related to potential chemical poisoning and contamination.

- ✓ It is recommended that a village chemical incidence observation committees be established for the villages listed below:
  - Villages that store and use chemicals for their own needs
  - Villages that store chemicals within their village boundaries on behalf of local agribusiness,
  - Villages within 5 km of commercial crop plantations, and
  - Villages affected by incidences of poisoning and contamination.
- ✓ The village based monitoring group will require basic training to respond to reports of adverse events related to pesticides within a reasonable period of time. The community-based approach will ensure the most effective mechanism for surveillance and providing immediate health care.

### Small infrastructure/ civil works

To mitigate potential minor environmental and social adverse risks and impacts due to small civil works such as construction/ rehabilitation of office buildings, ranger stations, tourism facilities and others funded by the LLL project (concerning ESS2, ESS5, ESS 6, ESS 8), the following is suggested to guide mitigation:

- ✓ Anticipated environmental and social impacts of these structures will be minor, temporary, localized and the impacts will be mitigated through mitigation measures during the sub-project preparation, design and construction.
- ✓ Any UXO has to be cleared prior to any construction/ civil work;
- ✓ The Environmental Code of Practice (ECoP) will be integrated into renovation related contract and bidding documents.
- ✓ The Social Code of Practice (SCoP) will be integrated into infrastructure related contracts and bidding documents;
- ✓ In case of land acquisition is required, the Resettlement Policy Framework (RPFW) will be applied;
- ✓ Several simple mitigation measures for small infrastructure/ civil works will be applied (see table below).

**Table 17: Key Issues and Mitigation Measures – Small Infrastructure/ Construction**

Key issues to consider	Mitigation measures
<i>Location &amp; possible impact</i>	
Land and biodiversity degradation in conservation area	No animal killing
	No land occupation
	No forest cutting
	Solid waste management
	No camping
Flooding area	Provide adequate drainage system
	Include appropriate measures to accommodate floods such as retention pounds, diversion ditches, small dike, raising houses on stilts, etc.
Soil erosion in mountainous area	Design slope should be less than 17%
	Side drain

	Slope protection
	Guard rail (simple type)
Security risk to community	Speed limit sign
	Dust control
	Accident prevention
Land property	Minutes of meeting on conflict resolution and copy of land certificate attached
	Cultural area, history
Disturbance of fish spawning areas and migration routes	Avoid negative impacts such as disposal of spoil and tree uprooting that could silt up watercourses. Ensure optimal design.
<i>Construction phase</i>	
Burrow pit	Select suitable site
	Avoid new burrow pit
	Back fill as instructed
Erosion risk	Provide adequate slope protection
	Provide maintenance procedure
Solid waste	Provide appropriate waste collection and disposal
Waste oil	Do not allow to drain into soil and river
Camp	Secure agreement with local community
	Provide water supply, mosquito net, and adequate sanitation (toilet, washing space, etc), and good housekeeping to prevent rodents, insect, etc.
Storage of construction material	Store toxic wastes and materials in safe place.
<i>Operation phase</i>	
Public health, road safety, and other negative impacts on the village	<b>Consult community and develop mitigation measures</b>
Speed control	Install measures to control speed limit (sign, bumper, etc); education campaign
Dust control	Control speed limit, periodic watering, plant appropriate trees, surfacing
Accident	Awareness training in cooperation with the Police and local authorities

### Livelihood support

To mitigate potential adverse environmental risks and impacts due to livelihood support funded by the LLL project via Village Livelihood Block Grants (concerning ESS 6), the following is suggested to guide mitigation:

- ✓ Use CEF process to explore livelihood development options that have the least negative impact on natural habitats and other sensitive areas in terms of biodiversity conservation;



- ✓ Promote integrated, environmentally and socially sensitive agricultural/ livelihood practices (good agricultural practices), such as agro-forestry, small mixed plantations of indigenous tree species, integrated pest management;
- ✓ For livestock related livelihood activities rapidly assess number and livestock diversity; available grazing areas and carrying capacity, supply of fodder from different sources and the seasonal availability of fodder, consider fodder banks during dry season.
- ✓ Ensure livestock related support does not enhance grazing pressure on project areas. Assess options for veterinary care
- ✓ Ensure that areas for NTFP use/ management does not include sensitive areas for biodiversity conservation such as TPZ, HCVF and others;
- ✓ Embed selection of areas for use/ management of NTFPs into VFM planning and base it on results from village land use planning;
- ✓ Promote sustainable harvesting of NTFPs through awareness and training, and assess potential adverse impacts of first-stage processing;
- ✓ For livelihood activities that will involve green infrastructure, screen for minor, potential impacts, and apply mitigation measures.

## Tourism

To mitigate potential adverse environmental and social risks and impacts due to an increased number of tourists to Protected Areas and LLL supported priority landscapes (concerning ESS 6/ 7), the following is suggested to guide mitigation:

- ✓ Assess availability of infrastructure for tourism and regulate inflow of tourists as appropriate;
- ✓ Assess impact of increased tourists and accompanying demand on fuel wood from PA areas, increased harvesting of selected NTFPs, or wild fruits, herbs et al for consumption and sale;
- ✓ Assess emergence of local forest, bamboo, NTFP-based household production for tourists and its impact on unsustainable harvesting;
- ✓ Assess location of tourist spots and ensure sites are not in fragile natural habitat areas;
- ✓ Undertake seasonal analysis of tourist inflow and co relate with breeding cycles of species those are attractive to tourists;
- ✓ Undertake orientation and training of local people involved in eco-tourism especially with relation to negative impacts of tourism on the environment and forest resources;
- ✓ Ensure all tourist camps are clearly marked with signage, have garbage disposal arrangements, and fire management equipment;
- ✓ Provide orientation and briefings to tourists about PA, make available educational and awareness material in appropriate language;
- ✓ Introduce the Code of Conduct for tourists who are visiting Protected Areas within the priority landscapes;
- ✓ Apply ECoP to all physical renovation works and SS-ESMP (if required) to new infrastructures facility that will be built related to support tourism activity.

## Annex 07: ES Inspection and Reporting

### ES Inspection

This Annex 07 is referenced in Chapter 5.1/ Table 6 (step 6 'Inspection and Reporting' of the ES Process for Sub-projects and Investments).

The inspection form (Table 18, below) needs to be filled out by ES focal points of PPCUs and NPCUs during field supervision and inspection missions to check performance of ES FP and compliance of SS-ESMP (or IEE) related commitments, as well as to detect and report deviations and any other ES relevant issue and/ or concern.

**Table 18: Supervision and Inspection Form**

Province:		District:			Location – sketch map attached	
					YES	NO
Village:		Sub-project (s):				
<b>Type of Inspection and Period:</b>						
Quarterly:				Bi-annually		
Others:				Duration:		
No	Inspected Measures as of approved SS-ESMP	Compliance			Comments	
		Good	Satisfactory	Poor		
<b>Sub-project/ investment 1</b>						
<b>Sub-project/ investment 2</b>						

<b>Sub-project/ investment 3</b>					
<b>Sub-project/ investment 4</b>					
<b>Additional description of observations and comments (compliance with SS-ESMP, environmental and social impacts)</b>					

Distributed to	Yes	No	Date
PPCU			
NPCU			
Others (list below)			
Supervision/ Inspection form compiled by:			
Name:		Signature:	
Designation:			
Date:			
Monitoring Form verified by:			
Name:		Signature:	
Designation:			
Date:			

## ES Reporting

As part of the overall bi-annual Project reporting by PCU's, a summary input related to the ESF implementation and compliances has to be developed and provided by ESFPs with support from TA. The inputs follow the structure as provided by the overall bi-annual Project report.

In accordance to the ESCP, detailed ES monitoring reports have to be developed by ESF team and submitted to WB bi-annually. These reports, especially their executive summary provide the information for the inputs into the overall bi-annual Project progress reports. The bi-annual ES monitoring reports are structured as following:

### Abbreviations and Acronym

### Table of Contents

### Executive summary

Overview of the project, project's activities during the reporting period, ES assessment and instruments prepared, ES instruments implementation, compliance monitoring, challenges, and recommendations and next steps.

### 1. Introduction

- Background and context of the project (briefly)

- Objectives of the report
- E&S requirements at the project level (ESCP, ESMF, ESMP, CEF, SEP, LMP, etc)
- ESF implementing arrangement (simple diagram)
- Methodology and scope of the monitoring

**2. Implementation of ESF measures**

- Overview of the ESF implementation status including major issues and management with reference to the ESCP in annex.
- Project’s activities during the reporting period (briefly)
- Summary of overall ES assessment and instruments prepared/applied for project’s activities (ESMF, ESMP, LMP, RFP, PMP, etc)
  - ES (including ESCP) compliance monitoring: Results and Non-compliance (mission, field visit, subprojects/contracts monitored, quality of ES compliance report from contractor or ESF focal points, OHS/GBV)
- Staffing (ES staffs, consultants, focal points, etc)
- ESF capacity building (training, awareness raising, etc)
- Recommendations (Corrective actions/mitigation measures)

**3. Community Engagement Framework**

- Overview of CEF implementation including CAP and FPIC
- Challenges, issues, recommendations and next steps

**4. Stakeholder Engagement and Information Disclosure**

- Overview of stakeholder engagement activities or consultations conducted
- Feedback from stakeholders
- Actions taken to address stakeholder concerns
- Grievance Redress Mechanism Monitoring
- Summary of cases

Province	Subproject ID	# of GRM Cases	# of Closure	# of Pending

- Summary of responses
- Summary of pending issues
- Summary of other feedback (recommendation/request)

## 5. Accident Reporting

- If there is no accident, suggest to just simply say "There is no any accident during this reporting period"

## 6. Conclusion

- Achievements, Challenges, Recommendations and Next Steps (for the next 6 months)

### Annex (if applicable)

- Update on progress of ESCP (by adding another column 'Status')

- Update on progress of WB mission agreed actions

- GRM log book

- Minute of consultations or meetings if conducted.

a. For the assessment of mitigation compliance of sub-projects, the following ranking can be applied:

1. Very Good (all required mitigations implemented)
2. Good (the majority of required mitigations implemented)
3. Fair (some mitigations implemented)
4. Poor (few mitigations implemented)
5. Very Poor (very few or no mitigations implemented)

Additional explanatory comments should be provided as necessary.

b. For the assessment of mitigation effectiveness of sub-projects, the following ranking can be applied:

1. Very Good (mitigations are fully effective)
2. Good (mitigations are generally effective)
3. Fair (mitigations are partially effective)
4. Poor (mitigations are generally ineffective)
5. Very Poor (mitigations are completely ineffective)

Additional explanatory comments should be provided as necessary.

For the assessment of overall progress of implementing the ESF measures and fulfilling the requirements of the ESCP, the following ranking can be applied:

- 1) Very Good
- 2) Good
- 3) Fair
- 4) Poor
- 5) Very Poor

Additional explanatory comments should be provided as necessary.

## **Annex 08: Environmental Code of Practice**

### **Introduction**

This Annex 08 relates to the Sub-chapter 5.6, and presents a generic Environment Code of Practice (ECoP) to be included into all renovation civil work bidding documents and contracts. It describes general and some specific requirement for environmental management and monitoring for civil works supported by the LLL project. The implementing agency (IA) will assign a construction supervision consultant and/or field engineer to supervise and monitor contractor's compliance with the ECoP. PCUs at all levels, and/ or local communities may also conduct periodic monitoring of contractor performance, as needed. The ECOP and COC aims to mitigate the possible negative impacts induced by project financed activities. Provision in the ECOP is to address relevant negative impact induced from renovation works such as air pollution, noise, vibration, waste, safety risks, local traffic, etc. which could be mitigated through good housekeeping and construction practices.

ECOP requirements are divided into 3 parts: (1) General Provision and Planning, (2) Specific Consideration, and (3) Works Management and Monitoring. Part (1) describes roles and responsibility of the IA, contractor, and supervisor including the basic principles and/or requirements of the WB groups for Contractor to consider during the planning or development of a contractor's standard operation procedures (C-SOP). Part (2) describes some specific requirements to address concerns of local authorities and communities, issues observed during supervision and/or site-specific issues. Part (3) describes standard requirements during execution works to reduce potential impacts on air, noise, vibration, water, etc. including key monitoring indicators that could facilitate effective supervision and monitoring including a simple application for small physical renovation civil works (such as renovation of office and other healthcare facility).

The following guidelines will be implemented by Contractor as part of the works contract.

### **Part (1): General Provision**

#### *1.1 Contractor responsibility*

The Contractor is responsible for making best effort to reduce and mitigate the potential negative impacts on local environment and local resident including making payment for all damages that may occur. Contractor performance will be closely supervised and monitored by a qualified field engineer as well as periodic monitored by a qualified consultant, mass organizations, or local communities to be assigned by the IA. Compliance with ECoP is required throughout the work period.

For clarity, the term "works" and/or "construction" in this document includes demolition, spoil disposal, materials and waste removal and all related renovation activities.

#### *1.2 Non-compliance reporting procedures*

The Contractor (and its subcontractors if any) must comply with the final ECOP. To ensure that necessary action has been undertaken and that steps to avoid adverse impacts and/or reoccurrence have been implemented, the Contractors must advise the IA within 24 hours of any serious incidents of non-compliance with the ECoP that may have serious consequence. In the event of working practices being deemed dangerous either by the IA, the local authorities, or the other concerned agencies, immediate remedial action must be taken by the Contractor. The Contractor must keep records of any incidents and any ameliorative action taken. The records on non-compliance that could be practically addressed (not cause serious impacts) will be reported to the IA on a monthly basis.

The Contractor will be responsible for dealing with any reports/grievance forwarded by the IA, Police, or other agencies (by following instruction from the IA's representative as appropriate) as soon as practicable, preferably within one hour but always within 24 hours of receipt by either the Contractor. The CSC/FE will monitor and ensure that the Contractor has taken appropriate action. Where appropriate, approval remedial

actions may require an agreement from the local authorities and/or other Government agencies. Procedures should be put in place to ensure, as far as is reasonably practical, that necessary actions can be undertaken to avoid recurrence and/or serious damage.

### *1.3 Liaising with local authorities and the public*

Prior to the commencement of project investment activities and throughout the construction duration, the Contractor will work closely with the local authorities and other agencies to ensure full compliance with Government regulations including those related to life and fire safety (L&FS) risk assessment and management and will also provide adequate information on the Project to the general public, especially those that may cause public safety, nuisance, and sensitive areas and the locations of storage and special handling areas. The Contractor will provide information and reporting telephone "Hot Line" staffed at all times during working hours.

### *1.4 Community relations*

The Contractor will assign one community-relation personnel, who will be focused on engaging with the community to provide appropriate information and to be the first line of response to resolve issues of concern. Contractor will take reasonable steps to engage with residents of ethnic minority backgrounds and residents with disabilities (or other priority groups as appropriate), who may be differentially affected by construction impacts.

The Contractor will ensure that local residents nearby the renovation sites will be informed in advance of works taking place, including the estimated duration. In the case of work required in response to an emergency, local residents shall be advised as soon as reasonably practicable that emergency work is taking place. Potentially affected residents will also be notified of the 'Hotline' number, which will operate during working hours. The "Hotline" will be maintained to handle enquiries regarding construction activities from the general public as well as to act as a first point of contact and information in the case of any emergency. All calls will be logged, together with the responses given and the callers' concerns action and a response provided promptly. The Hotline will be widely advertised and displayed on site signboards.

The Contractor respond quickly to emergencies, complaints or other contacts made via the 'Hotline' or any other recognized means and liaise closely with the emergency services, local authority officers and other agencies (based on established contacts) who may be involved in incidents or emergency situations.

The Contractor will manage the renovation sites, work camps, and workers in a way that is acceptable to local residents and will not create any social impacts due to workers. Any construction workers, office staff, Contractor's employees, or any other person related to the Project found violating the "*prohibitions*" activities listed in Section (1.7) below may be subject to disciplinary actions that can range from a simple reprimand to termination of his/her employment depending on the seriousness of the violation.

### *1.5 Implementation of the Environmental Health and Safety (EHS) guideline*

In line with WB safeguard policy, the Contractor is required to comply with the Environment, Social, Health, and Safety (ESHS) established for the project investment with financial support from the WB group (WBG). The ESHS provides general guidance on the pollution prevention and abatement measures and workplace and community health and safety guidelines that are normally acceptable in Bank-supported projects, particularly in cases where the borrowing country does not have standards, or when its standards fall significantly short of international or industry-wide norms. The ESHS are divided in two parts: general guidelines on health and safety and pollution prevention and abatement, including general standards for air and water quality, and a set of sector-specific guidelines for various types of development projects. For the Project, the Contractor will prepare an ESHS Plan with an aim to identify the potential impacts and to develop a mechanism for a better management of the environmental health and safety of project activities during construction. At a minimum the following ESHS rules will be strictly followed:



**Site ESHS Rules:**

- ESHS orientation sessions before starting work;
- Wearing of personal protective equipment (gloves, helmets, safety shoes, dungarees, goggles etc);
- Follow the messages and instructions displayed on EHS notice boards installed on site;
- Promptly reporting all accidents to the concerned authority;
- Maintain appropriate barricades as required;
- Vehicles must be driven at a safe speed, observing speed limits of 30 Km/h and designated routes as mentioned in Contractor's Mobility Map;
- Drivers must have a valid driving license for the class of vehicle they are operating;
- Vehicles shall only be parked in designated parking areas; and
- Mine clearance of the project investment area.

**Health and Hygiene:** The measures should include:

- Provision of adequate medical facilities to the staff;
- Provision of hygienic food to the employees;
- Provision of cooling and heating facilities to the staff; and
- Provision of drainage, sewerage and septic tanks in camp area.

**Security:** Security measures should include:

- Regular attendance and a controlled time keeping of all employees;
- Restriction of un-authorized persons to the residential and work areas;
- Restriction of carrying weapons and control hunting by employees; and
- Provision of boundary walls/ fences with proper exits to the camp.

**1.7 Prohibitions**

The following activities are prohibited on or near the subproject sites:

- Cutting of trees for any reason near the renovation site; Hunting, fishing, wildlife capture, or plant collection; Buying of wild animals for food; Having caged wild animals (especially birds) in camps; Poaching of any description; Explosive and chemical fishing; Disturbance to anything with architectural or historical value;
- Building of fires; Use of unapproved toxic materials, including lead-based paints, asbestos, etc.; Use of firearms (except authorized security guards); Use of alcohol by workers in office hours; Driving in an unsafe manner in local roads; and

Washing cars or machinery in streams or creeks; Maintenance (change of oils and filters) of cars and equipment outside authorized areas; Creating nuisances and disturbances in or near communities; Disposing garbage in unauthorized places; Indiscriminate disposal of rubbish or construction wastes;

Littering the site; Spillage of potential pollutants, such as petroleum products; Collection of firewood; Urinating or defecating outside the designated facilities; and Burning of wastes and/or cleared vegetation.

## **Part (2) Specific Requirements**

To be responsive to concerns observed and/or expressed by local authorities and communities, the Contractor will be responsible to comply with, but not limited to, the followings:

- The Contractor will install the Work Camp on areas far enough from water points, houses and sensitive areas in consultation with the community and the IA. Good quality sanitary equipment should be selected and installed in the Work Camp.
- The Contractor will manage all activities in compliance with GOL laws, rules and other permits related to site renovation/ demolition regulations (what is allowed and not allowed on work sites), and will protect public properties. Degradation and demolition of private properties will be avoided. Paying compensation to damage to the public facilities and/or private property will be required. The Contractor will inform the IA on issue and/or damages that may unexpectedly occur.
- The Contractor is responsible for protection of local environment against dust, air, noise, vibration, exhaust fuels and oils, and other solid residues generated from the work sites. The Contractor will manage waste properly and do not burn them on site and will also provide proper storage for construction materials, organize parking and displacements of machines in the site. Used oil and construction waste materials must be appropriately disposed-off and adequate waste disposal and sanitation services will be provided at the construction site next to the generated areas. In order to protect soil, surface and ground water the Contractor will avoid any wastewater discharge, oil spill and discharge of any type of pollutants on soils, in surface or ground waters, in sewers and drainage ditches. Compensation measures may be required.
- The Contractor will be responsible for maintaining good hygiene, safety, and security of the work sites, including protection of and health and safety of staff and workers. The Contractor will prevent standing water in open construction pits, quarries or fill areas to avoid potential contamination of the water table and the development of a habitat for disease-carrying vectors and insects. Safe and sustainable construction materials and construction method should be used.
- The Contractor will use a quarry of materials according to the regulations and compensate by planting of trees in case of deforestation or tree felling. When possible, the Contractor should develop maintenance and reclamation plans, protect soil surfaces during construction and re-vegetate or physically stabilize eligible surfaces, preserve existing fauna and flora and preserve natural habitats along streams, steep slopes, and ecologically sensitive areas.
- During construction, the Contractor will take serious actions to control dust by using water or through other means and the construction site will be cleaned on a daily basis.
- The Contractor will work with local authority and management local traffic effectively and ensure traffic access of road safety of local residents and road users during the works. Speed limit at work sites and community area will be applied to all vehicles and cars. All vehicles and their drivers must be identified and registered and the drivers are properly trained.
- The Contractor will install signs and signals of works, ensure no blockage of access to households during construction and/or provide alternative access, provide footbridges and access of neighbours and endure construction of proper drainage on the site.

- The Contractor will respect the cultural sites, ensure security and privacy of women and households in close proximity to the camps and safely dispose asbestos.

To protect COVID-19 impacts on workforce, the measures provided in Annex 15 will be applied as appropriate taking into account the Government procedures and regulations and/or agreements with local authority and/or the WB.

### Part (3) Renovation Works Management and Monitoring

This section provides an example for typical measures for physical civil works. However, given that the impacts and mitigation measures are varied according to nature and size of works, two guidance is provided. For the Project rehabilitation civil works (including possible demolition) expected to be minor environmental and social risk and impact, the procedure in (3a)/ Table 19 will be applied and monitored. The procedures in (3b)/ Table 20 can be applied to all workers and contractors. Contractor's performance during implementation of works will be supervised and monitored by the CSC/FE. The contract final requirements should be consistent with the final detailed design.

**Table 19: Management and Monitoring of Works (3a)**

#	Activities causing impacts	Mitigation measures	Monitoring indicators
1	Establishment and operation of worker camps,	<ul style="list-style-type: none"> <li>Ensure that the sites for campsite are approved by the Project and local authority; Selection of the camp sites should be made through tripartite consultation including community, Contractor, and the subproject representative.</li> <li>Ensure that basic camp facilities are provided including security, septic tanks, latrines, safe water supply, mosquito net, blanket, safe paths, fire prevention equipment, etc.</li> <li>Ensure that (a) washing areas, demarcated and water from washing areas and kitchen is released in sumps, (b) septic tanks of appropriate design have been used for sewage treatment and outlets are released into sumps and must not create a pond of stagnant water, and (c) the latrines, septic tanks, and sumps are built at a safe distance from water body, stream, or dry streambed, and the sump bottom is above the groundwater level.</li> </ul>	<p>Location of the work camp should be shown in the alignment sheet.</p> <p>No complaints from local authorities and local residents due to location and activities of the worker camps.</p> <p>Safe and comfortable living of staff and workers</p>
2	Establishment and operation of construction materials and equipment yards and access roads	<ul style="list-style-type: none"> <li>Ensure that the locations are far away from residential areas and take actions to mitigate dust, noise, vibration, water pollution, waste, etc.</li> </ul>	Proper management of the site and no complaints from local authorities and residents
3	Disposal of waste generated from the camp	<ul style="list-style-type: none"> <li>Recycle metallic, glass waste; bury organic waste in impervious pit covered with soil.</li> <li>Ensure that waste material is properly disposed off in a manner that does not affect the natural drainage.</li> </ul>	No health issue occurred
4	Access tracks/haulage routs	<ul style="list-style-type: none"> <li>The moving machinery should remain within the subproject boundary.</li> <li>Ensure that the access tracks, which are prone to dust emissions and disturbance to local resident are managed by water spraying</li> </ul>	No complaints from local residents regarding dust,

#	Activities causing impacts	Mitigation measures	Monitoring indicators
		<p>daily and the areas sensitive to noise and vibration are managed through enforcement of speed limit control.</p> <ul style="list-style-type: none"> <li>Restriction on movement of Contractor's vehicles on designation routes; deploy traffic man at the village to control the traffic as needed.</li> </ul>	noise, vibration, road safety, and the usage of the tracks/access roads
5	Hiring skilled workers from outside of the locality	<ul style="list-style-type: none"> <li>Hiring of workers from the local communities as much as possible.</li> </ul>	Number of local workers at the worksite.
6	Workers safety and hygienic conditions	<ul style="list-style-type: none"> <li>Provide protective clothing and equipment for workers especially those handling hazardous materials, (helmets, adequate footwear) for concrete works (long boots, gloves), for welders (protective screen, gloves dungaree), etc.</li> </ul>	Safe working conditions
7	Water for staff and workers consumption and construction	<ul style="list-style-type: none"> <li>Provide adequate and safe water for consumption at sites and work camp.</li> </ul>	Water tanker and pump by the Contractor
8	Interruption of water supply	<ul style="list-style-type: none"> <li>Inform residents and provide water supply as needed.</li> </ul>	No complaint from residents
9	Social issues	<ul style="list-style-type: none"> <li>Ensure that conflicts with local power holders and local communities are avoided.</li> <li>Ensure that focus group meetings are conducted with both men and women to identify any water related and other issues related to the subproject implementation.</li> </ul>	No social conflict's due to the subproject activities and/or workers.
10	Storage of hazardous material (including infectious and toxic wastes)	<ul style="list-style-type: none"> <li>Provide hard compacted, impervious and bounded flooring to hazardous material storage areas; Label each container indicating what is stored within; Train staff in safe handling techniques.</li> </ul>	No health hazard and water contamination occurred.
11	Handling of fuels, oil spill and lubricants	<ul style="list-style-type: none"> <li>Ensure that no contaminated effluent is released in to the environment.</li> <li>Ensure that fuels, oils, and other hazardous substances handled and stored according to standard safety practices such as secondary containment.</li> <li>Fuel tanks should be labeled and stored in impervious lining and dykes etc.</li> <li>Ensure that vehicle refueling to be planned on need basis to minimize travel and chance spills.</li> </ul>	No oil spill observed

#	Activities causing impacts	Mitigation measures	Monitoring indicators
		<ul style="list-style-type: none"> <li>Ensure that operating vehicles are checked regularly for any fuel, oil, or battery fluid leakage.</li> </ul>	
12	Cutting of trees near the renovation site	<ul style="list-style-type: none"> <li>To minimize the needs for cutting.</li> <li>To get agreement of the local community and community</li> </ul>	No complaints from local authority and/or residents.
13	Dust and smoke emissions	<ul style="list-style-type: none"> <li>All truckloads of loose materials is covered during transportation. Water spraying or any other methods are used by the Contractor to maintain the works areas, adjacent areas, and roads, in a dustless condition, as well the vehicle speed not to be exceeded from 30Km/h. Vehicles will be tuned regularly to minimize the smoke emissions.</li> </ul>	Dust and smoke controlled
14	Noise pollution	<ul style="list-style-type: none"> <li>Vehicles and equipment used to be fitted, as applicable, and with properly maintained silencers. Restriction on loudly playing radio/tape recorders etc.</li> </ul>	Excessive noise generation controlled

**Table 20: Management of Small Renovation Works (3b)**

Do:	Do not
<ul style="list-style-type: none"> <li>◆ Use the toilet facilities provided – report dirty or full facilities</li> <li>◆ Clear your work areas of litter and building rubbish at the end of each day – use the waste bins provided and ensure that litter will not blow away.</li> <li>◆ Report all fuel or oil spills immediately &amp; stop the spill from continuing.</li> <li>◆ Smoke in designated areas only and dispose of cigarettes and matches carefully. (littering is an offence.)</li> <li>◆ Confine work and storage of equipment to within the immediate work area.</li> <li>◆ Use all safety equipment and comply with all safety procedures.</li> <li>◆ Prevent contamination or pollution of streams and water channels.</li> <li>◆ Ensure a working fire extinguisher is immediately at hand if any “hot work” is</li> </ul>	<ul style="list-style-type: none"> <li>◆ Remove or damage vegetation without direct instruction.</li> <li>◆ Make any fires.</li> <li>◆ Poach, injure, trap, feed or harm any animals – this includes birds, frogs, snakes, etc.</li> <li>◆ Enter any fenced off or marked area.</li> <li>◆ Drive recklessly or above speed limit</li> <li>◆ Allow waste, litter, oils or foreign materials into the stream;</li> <li>◆ Litter or leave food lying around;</li> <li>◆ Cut trees for any reason outside the approved renovation site;</li> <li>◆ Buy any wild animals for food;</li> <li>◆ Use unapproved toxic materials, including lead-based paints, asbestos, etc.;</li> </ul>

undertaken e.g. welding, grinding, gas cutting etc.

- ◆ Report any injury of workers or animals.
- ◆ Drive on designated routes only, observe speed limit, and prohibit drunken driving.
- ◆ Prevent excessive dust and noise.
- ◆ Prevent bad behaviors of works especially those related to sexual exploitation, gender-based violence (GBV), violence against children (VAC), and other abuses

- ◆ Disturb anything with architectural or historical value;
- ◆ Use of firearms (except authorized security guards);
- ◆ Use of alcohol by workers during work hours;
- ◆ Wash cars or machinery in streams or creek;
- ◆ Do any maintenance (change of oils and filters) of cars and equipment outside authorized areas;
- ◆ Dispose trash in unauthorized places;
- ◆ Have caged wild animals (especially birds) in camps;
- ◆ Work without safety equipment (including boots and helmets);
- ◆ Create nuisances and disturbances in or near communities;
- ◆ Use rivers and streams for washing clothes;
- ◆ Dispose indiscriminately rubbish or construction wastes or rubble;
- ◆ Spill potential pollutants, such as petroleum products;
- ◆ Collect firewood;
- ◆ Do explosive and chemical fishing;
- ◆ Use latrines outside the designated facilities; and
- ◆ Burn wastes and/or cleared vegetation.

## **Annex 09: Pest Management Plan**

This Annex 09 relates to Sub-chapter 5.7, and describes principles to prepare a PMP, its main contents, as well as lists of banned and registered/ eligible pesticides in Lao PDR.

### **1. Principles to prepare a PMP**

If a PMP is required the following principles should be considered:

- The program activity will not finance the purchase of fertilisers, pesticides, or other toxic agrochemicals. In normal conditions, if pesticide use is considered to be the necessary option, only pesticides registered with the government and the international recognition will be used and the program will also provide technical and economic information for the type and amount of the chemicals.
- The program will also consider other options (including the management of non- harmful chemicals) that can also reduce reliance on the use of pesticides. The measures will be incorporated into the subproject design to reduce risks related to the handling and use of pesticides by farmers.
- During the preparation of the ESMF for a subproject, the sub-project owner will identify the need for training and capacity building in close consultation with the local authorities and other key stakeholders including chemical suppliers to enhance close cooperation and understanding among them.
- The subproject will apply IPM practices in line with the national IPM program and aquaculture/shrimp farming management programs being implemented by MAF as a means to minimise the potential negative impact of the increased use of fertilisers, pesticides, and toxic chemicals. Main activities may include training, sharing of knowledge and experience in the use of fertilisers and chemicals through research surveys, study visits, and/or selecting safe use of non-chemicals, other techniques.
- The PMP will identify the agency responsible for implementation including fund flow and reporting arrangements. DPT/ DAFO will be responsible for planning and implementation of PMP activities while farmers will be responsible for actively participation during the planning and implementation. PPCU/ PAFO will be responsible for supervision and monitoring of the ESMF. The activities will be planned and implemented in close consultation with farmers, local authority, and local community organization especially women. The implementation budget will be included as part of the ESMF cost and the activities, outputs, and impacts will be monitored as part of the ESM implementation.

### **2. Main Chapters/ Contents of a PMP**

#### **1 Project Background**

Describe briefly the scope and planned activities of the sub-project or investment, as well as how the PMP was developed, by whom and related consultations/ link to other safeguard instruments such as the CEF.

#### **2 Legal and Institutional Frameworks**

Describe briefly, which national legislation (e.g. laws, decrees, regulations) are relevant and applicable, as well as environmental and social standards by the WB that are concerned. Mandates and responsibilities of institutions and others also have to be briefly described.

#### **3 Issues and Actions**

Describe in more detail key issues/ concerns related to the use of agro-chemicals such as pesticides/ chemical fertilizer, also which potential adverse environmental and social risks and impacts they pose.



Based on this describe in more detail related measures that avoid, reduce and mitigate the application of agro-chemicals such as pesticides/ chemical fertilizer. Describe in more detail action including alternatives/ mitigation measures. They may include Integrated Pest Management (IPM), Good Agricultural Practices (GAP), selective/ reduced use of registered agro-chemicals and prohibited use of banned pesticides and others. This chapter also should include trainings and extension services to participating villages as appropriate to the situation and action.

#### 4. Implementation Arrangements and Budget

Briefly describe who is in charge for pest management related activities, such as planning, implementation, monitoring and reporting, and in which formats and timing such should be conducted. Determine the budget for suggested actions/ mitigation measures as summary with details as an Annex, indicate activities, responsibilities, unit costs, units and total cost per activity.

**Table 21: List of banned pesticides in Lao PDR, June 2010**

<b>Insecticides and acaricides</b>	<b>Fungicides</b>
1. Aldrin	30. Binapacryl
2. BHC	31. Captafol
3. Chlordane	32. Cycloheximide
4. Chlordimeform	33. Mercury and mercury compounds
5. Chlorfenvinphos	34. MEMC
6. Chlorthiophos	35. PMA
7. Cyhexatine	36. Selenium compound
8. DDT	<b>Rodenticides</b>
9. Dieldrin	37. Chlorobenzilate
10. Dimefox	38. Sodium fluoroacetate
11. Dinitrocresol	<b>Herbicides</b>
12. Demeton	39. 2, 4, 5 –T
13. Endrin	40. Dinoseb
14. Endosulfan	41. Dinoterb acetate
15. Ethyl Parathyon	42. Paraquat
16. EPN	43. Sodium chlorate
17. Heptachlor	<b>Fumigants</b>
18. Hexachloro cyclohexane	44. EDB
19. Leptophos	45. Ethylene oxide
20. Lindane	46. Methyl bromide
21. Methamidophos	<b>Others</b>
22. Methomyl	47. Arsenic compound
23. Methyl parathion	48. Calcium arsenate – herbicide, rodenticide, molluscicide, insecticide
24. Monocrotophos	49. DBCP – Nematocidide
25. Polychlorocamphene	50. Daminozide – Plant growth regulators
26. Phorate	51. Fluoroacetamide – Insecticide, rodenticide
27. Schradan	52. Oxamyl – Insecticide, acaricide, termiticide

Insecticides and acaricides	Fungicides
28. TEPP	53. Phosphamidon – Insecticide, nematocide
29. Toxaphene	54. Sodium Arsenite – Insecticide, fungicide, herbicide, rodenticide
	55. Thallium (i) sulfate – Rodenticide, insecticide.

**Table 22: List of eligible and registered pesticides in Lao PDR, June 2010**

No	Common name	a.i (%)	Trade name	Type of application	Countries of origin	Toxicity class
1	2,4- D	80%	Zico 80 WP	Herbicide	Vietnam	WHO II
2	2,4-D dimethylammonium	84%	Dee Jai	Herbicide	Thai	WHO II
3	2,4-D dimethyl ammonium	82.1%	Obet	Herbicide	Thai	WHO II
4	2,4-D dimethyl ammonium	84%	B K Amin	Herbicide	Thai	WHO II EPA II
5	2.4 D	60%	ZICO 720 SL	Herbicide	Vietnam	WHO II
6	2.4 D	48%	Zico 48 SL	Herbicide	Vietnam	WHO II
7	45% buprofezin + 15% Imidacloprid	60%	DIFLOWER® 600WP	Insecticide	Vietnam	WHO U
8	Abamectin	1.80%	KhumPleum	Insecticide	Thai	EPA IV
9	Abamectin	1.8%	Countdown	Insecticide	Thai	EPA IV
10	Abamectin	1.8%- 3.6%- 5%	DIBAMEC®1.8EC -3.6EC-5WG	Insecticide	Vietnam	EPA IV
11	abamectin	1.8%	Intake	Insecticide	Thai	EPA IV
12	Abamectin 0.9% + Bacillus thuringensis 1.15	2%	ABT 2 WP	Insecticide	China	EPA IV
13	Acetochlor	50%	Dibstar 50 EC	Herbicide	Vietnam	WHO III
14	Acetochlor	80%	Saicoba 80 EC	Herbicide	Vietnam	WHO III
15	Acting		AI-Net Acting	Plant Growth regulator	Thai	
16	Agrio-streptomycin	72%	Agrio-streptomycin	Bactericide	China	
17	Alachlor	48%	Anchor	Herbicide	Israel	WHO III
18	Alpha cypermethrin	5%	Sapen-Alpha 5 EC	Insecticide	Vietnam	WHO II
19	Alpha-Cypermethrin	2%	Dominex	Insecticide	Thai	WHO II
20	Alpha-Cypermethrin	5%	DANTOX®5EC	Insecticide	Vietnam	WHO II
21	Ametryn	50%,8 0%	Sametrin 50 WP, 80 WP	Herbicide	Vietnam	WHO III

22	Atrazine	80%	Mizin 80 WP	Herbicide	Vietnam	WHO U
23	Atrazine	90%	B K Mac P 90WG	Herbicide	Thai	WHO U EPA III
24	Azoxystrobin + Propiconazole	32,5 %	Saiprobin 325 SC	Fungicide	Vietnam	WHO U
25	Bensulfuron methyl	10%	Beron 10 WP	Herbicide	Vietnam	WHO U
26	Bifenthrin	24%	Biflex - TC	Termiticide	Thai	WHO II
27	Bifenthrin	0.50%	Fentax 10 WP	Insecticide	Thai	WHO II
28	Bifenthrin	1.25%	Bistar- D	Insecticide	Thai	WHO II
29	Bifenthrin+Malathion	2%+40 %	Bistar - M	Insecticide	Thai	WHO II
30	Buprofezin	40%	Lang van	Insecticide	Thai	WHO U
31	Butachlor	5%-10%	DIBUTA®60 EC	Herbicide	Vietnam	WHO U
32	Butachlor	60%	Butaxim 60 EC	Herbicide	Vietnam	WHO U
33	Butachlor + Propanil	70%	Por Jai	Herbicide	Thai	WHO U
34	Butachlor+Bensulfuron Methyl	21%+4 %	ALOHA®25WP	Herbicide	Vietnam	WHO III
35	Carbendazim	50%	Sabay Dee	Fungicide	Thai	WHO U
36	Carbendazim	50%	DIBAVIL® 50FL - 50WP	Fungicide	Vietnam	WHO U
37	Carbendazim	50%	Carbendazim 500 FL	Fungicide	Vietnam	WHO U
38	Carbendazim	50%	Carbendazim 50 WP	Fungicide	Vietnam	WHO U
39	Carbendazim + Mancozeb	6.2%+73.8%	C M plus	Fungicide	Thai	WHO U
40	Carbosulfan	20%	Kanir	Insecticide	Thai	WHO II
41	Cartap	95%	Big cock 95 SP	Insecticide	China	WHO II
42	Cartap	4%	Big cock 4 G	Insecticide	China	WHO II
43	Cartap hydrochloride	50%	Chodsanit	Insecticide	Thai	WHO II
44	Chlorothalonil	75%	Mention	Fungicide	Thai	WHO U
45	Chlorothalonil	53.0%	Daconil 720 SC	Fungicide	Japan	WHO U
46	Chlorpyrifos methyl	3%	Sago-Super 3 G	Insecticide	Vietnam	WHO U
47	Chlorpyrifos methyl	20%	Sago-Super 20EC	Insecticide	Vietnam	WHO U
48	Chlorpyrifos	40%	Temsoob	Insecticide	Thai	WHO II
49	Chlorpyrifos	40%	Casto	Insecticide	Thai	WHO II
50	Chlorpyrifos	40%	CJ - 40	Insecticide	Thai	WHO II
51	Chlorpyrifos Ethyl + Cypermethrin	532g/l +55g/l	Golden dragon 585 EC	Insecticide	Vietnam	WHO U
52	Chlorpyrifos+cypermethrin	50%+5 %	New teen 55	Insecticide	Thai	WHO II
53	Chlorothalonil	75%	Chlorothalonil	Fungicide	China	WHO II
54	Copper hydroxide	77%	Microbucob	Fungicide	Thai	WHO III
55	Copper Oxycloride	85%	Saicoxy 85 WP	Fungicide	Vietnam	WHO III

56	Cyhalofop-Butyl	10% , 20%	Sagolince 100 EC,200 EC	Herbicide	Vietnam	WHO U
57	Cyhalofop-Butyl + Pyribenzoxim	50% + 20%	Sagoshots 70 EC	Herbicide	Vietnam	WHO U
58	Cymoxanyl + Mancozeb	8% + 64%	Saicymance 72 WP	Fungicide	Vietnam	WHO III
59	Cypermethrin	10%	Jud Hai	Insecticide	Thai	WHO II
60	Cypermethrin	35%	Rup four 35	Insecticide	Thai	WHO II
61	Cypermethrin	5%- 10%- 25%	DANTOX®5EC- 10EC-25EC	Insecticide	Vietnam	WHO II
62	Cypermethrine	25%	Secsaigon 25 EC	Insecticide	Vietnam	WHO II
63	Cypermethrine	10%	Secsaigon 10 EC	Insecticide	Vietnam	WHO II
64	Cypermethrine	5%	Sec saigon 5 EC	Insecticide	Vietnam	WHO II
65	Cypermethrine	50%	Secsaigon 50 EC	Insecticide	Vietnam	WHO II
66	Cyst-Forming protozoan	200,00 0- Số lượng	Prorodent	Rodenticide	Thai	
67	Denotefuran + Imidacloprid	5%+15 %	EXPLORER® 200WP	Insecticide	Vietnam	WHO II
68	Diazinon	10%	Diaphos 10 G	Insecticide	Vietnam	WHO II
69	Diazinon	50%	Diaphos 50 EC	Insecticide	Vietnam	WHO II
70	Dimethoate	40%	Dimenate 40 EC	Insecticide	Vietnam	WHO II
71	Dimethoate + Fenvalerate	21.5% +3.5%	Febis 25 EC	Insecticide	Vietnam	WHO II
72	Dinotefuran	20%	Sagoshin 20 WP	Insecticide	Vietnam	WHO U
73	Diuron	80%	Ansaron 80 WP	Herbicide	Vietnam	WHO U
74	Effective Microorganism ( EM)	5%	GENO-MI® 5 SL	Plant Growth regulator	Vietnam	
75	Emamectin + Benzoate	5%+2 %	COMDA 5WDG,2EC,2SC, 5EC,5SC	Insecticide	Vietnam	WHO II
76	Emamectin benzoate	0.20%	Emamectin benzoate	Insecticide	China	WHO III
77	Ethephon	2,5%	Sagolatex 2.5 PA	Plant Growth regulator	Vietnam	
78	Fenobucard	50%	Bascide 50 EC	Insecticide	Vietnam	WHO II
79	Fipronil	5%	Sagofipro 5 SC	Insecticide	Vietnam	WHO II

80	Fipronil	5%-0.3%-80%	LEGEND®5SC-0.3G-800WG	Insecticide	Vietnam	WHO II
81	Fluazifop-p-butyl	15%	Hekio	Herbicide	Thai	WHO III
82	Flumetralin	25%	Flumetralin	Plant Growth regulator	China	WHO U
83	Fomesafen	25%	Dilamma	Herbicide	Thai	WHO III
84	Fosetylaluminium	80%	KanAeng	Fungicide	Thai	WHO U
85	Fosetylaluminium	80%	Alpine 80 WP; 80 WDG	Fungicide	Vietnam	WHO U
86	Fosetylaluminium	80%	DIBAJET®80WP	Fungicide	Vietnam	WHO U
87	Glyphosate	41%	Lyphoxim 41 SL	Herbicide	Vietnam	WHO III
88	Glyphosate IPA Salt	48%	Dibphosate 480 SL	Herbicide	Vietnam	WHO III
89	Glyphosate isoproylammonium	48%	Burn up 48	Fungicide	Thai	WHO III
90	Glyphosate isoproylammonium	48%	Glyfosate 48	Herbicide	Thai	WHO III
91	Glyphosate isoproylammonium salt	48%	Grafic	Herbicide	Thai	WHO III
92	Glyphosate isoproylammonium salt	48%	Baca up 48	Herbicide	Thai	WHO III
93	Glyphosate isoproylammonium salt	48%	Baka up 48	Herbicide	Thai	WHO III
94	Greenfast		AI-Net Greenfast	Plant Growth regulator	Thai	
95	haloxyfop-R-methylester	10.8%	Hork	Herbicide	Thai	WHO II
96	Hexaconazole	5%,10%	Saizole 5SL, 10EC,10SC	Fungicide	Vietnam	WHO U
97	Hexaconazole	5%-10%	DIBAZOLE ® 5 SC-10SL	Fungicide	Vietnam	WHO U
98	Imidacloprid	10%	Saimida 100 SL	Insecticide	Vietnam	WHO II
99	Imidacloprid	5%-10%-70%	ARMADA®50EC-100SL-100EC-100WG-700WG	Insecticide	Vietnam	WHO II
100	Imidacloprid	50%	Imidacloprid	Insecticide	China	WHO II
101	Iprobenfos	50%	Kisaigon 50 EC	Insecticide	Vietnam	WHO III
102	Iprobenfos+ Tricyclazole	14%+6%	Luavang 20 WP	Fungicide	Vietnam	WHO III
103	Isoxaflutole	75%	Balance	Herbicide	Thai	EPA III
104	LamdaCyhalothrin	2,5 %	Vovinam	Insecticide	Vietnam	WHO II
105	Magnesium Phosphide	66%	MAGTOXIN	Fumigant	Germany	EPA 1
106	Malathion	73%	Malate 73 EC	Insecticide	Vietnam	WHO III
107	Mancozeb	80%	Dipomate 80 WP	Fungicide	Vietnam	WHO U
108	Mancozeb	80%	Kroche	Fungicide	Thai	WHO U

109	Mancozeb	25%	Khob Jai	Fungicide	Thai	WHO U
110	Mepiquat chloride	97%	Animat 97 WP	Plant Growth regulator	China	WHO III
111	Metalaxyl	25%	Chiket	Fungicide	Thai	WHO III
112	Metalaxyl	25%	Chud Jen	Fungicide	Thai	WHO II
113	Metalaxyl + Mancozeb	8% + 64%	Mexyl MZ 72 WP	Fungicide	Vietnam	WHO II
114	Metsulfuron Methyl	20%	DANY®25 DF	Herbicide	Vietnam	WHO III
115	N – ONE		AI-Net N- One	Plant Growth regulator	Thai	
116	N- TWO		AI-Net N- Two	Plant Growth regulator	Thai	
117	N-Function		AI-Net N-Function	Plant Growth regulator	Thai	
118	Nitrogen	4%	GENO-SUPER	Plant Growth regulator	Vietnam	
119	Nitrogen	21%	GENO-N-SUA	Plant Growth regulator	Vietnam	
120	Pacecilomyceslilacinus	50%	Palila 500 WP	Fungicide	China	
121	Paclobutrazol	15%	Saigon P1 15 WP	Plant Growth regulator	Vietnam	WHO III
122	Pendimethalin	330g/l	Pendimethalin	Herbicide	China	WHO III
123	Phosalone + Cypernethrin	17,5% + 3%	Sherzol 205 EC	Insecticide	Vietnam	WHO II
124	Pretilachlor	30%	Venus 300 EC	Herbicide	Vietnam	WHO U
125	Propanil	36%	Protocom	Herbicide	USA	WHO III
126	Propiconazole+Prochlor az	49%	Sai Jai	Fungicide	Thai	WHO II
127	Propineb	70%	Saitracone 70 WP	Fungicide	Vietnam	WHO U
128	Pyrazosulfuran ethyl	60%	Red dragon60WDG	Herbicide	Vietnam	WHO U
129	Pyribenzoxim	3%	Pyanchor 3 EC	Herbicide	Vietnam	
130	Quinalphos	25%-5%	FAIFOS®25EC-5G	Insecticide	Vietnam	WHO II
131	Quinclorac	50%	DANY®25 DF	Herbicide	Vietnam	WHO U
132	Seaweed Extract	6%	GENO-ROOTS	Plant Growth regulator	Vietnam	
133	Sulfur	80%	Sulox 80 WP	Fungicide	Vietnam	WHO U
134	Tebuconazole	2,5% + 4,5 %	Saifolicer 250 WG, 430 SC	Fungicide	Vietnam	WHO III
135	Tebuconazole + Trifloxystrobin	5% + 2.5 %	Sainative 750 WG	Fungicide	Vietnam	WHO III

136	Temephos	1%	Chemfleetsandag arid	Insecticide	Thai	WHO U
137	Thiophanate methyl	70%	Thio - M 70 WP	Fungicide	Vietnam	WHO U
138	Thiophanate methyl	50%	Thio-M 500 FL	Insecticide	Vietnam	WHO U
139	Thiophanate methyl + Tricyclazole	36%+14%	Pysaigon 50 WP	Fungicide	Vietnam	WHO U
140	Tricyclazole	20% + 75 %	Trizole 20WP, 75WP.75WG	Fungicide	Vietnam	WHO II
141	Validamycin	5%	Vanicide 5 SL	Fungicide	Vietnam	WHO U
142	Validamycin	3%	Kwan Jai	Fungicide	Thai	WHO U
143	Validamycin A	5%	Vanicide 5 WP	Fungicide	Vietnam	WHO U
144	Validamycin A	3%	vanicide 3 SL	Fungicide	Vietnam	WHO U

## **Annex 10: List of Do's and Don'ts Wildlife Trade and Consumption**

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 5.8. 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.

## **Annex 11: List of Do's and Don'ts – Littering and Non-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 5.9. 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.

## Annex 12: UXO Survey and Disposal Sub-Plan

This Annex 12 relates to Sub-chapter 5.10 and includes procedure below to apply in case project proposed activities are in the UXO risk areas. The procedure comprises of the following steps:

- Identify based on the UXO contaminated map (Annex 22b) if the proposed subprojects are in the UXO risk areas.
- Conduct non-technical survey to confirm if the proposed subproject's location is in the UXO risk areas.
- If UXO risk is unlikely, obtain a confirmation letter from village authorities and/or relevant district authorities, continue implementation of proposed subprojects.
- If UXO risk is likely, conduct training on UXO risk and code of conduct to be performed by project's staff, workers and local communities, and approach certified agencies for UXO survey and clearance. In this case, the proposed subproject cans only commence once UXO clearance is completed and UXO clearance certificate issued by NRA.

No.	Actions required	Responsible	When?
1.	Identify whether or not the proposed subproject located in the UXO risk area (refer to the UXO map and complete step 2 below).	Village Facilitators	After subproject location is identified
2.	Conduct non-technical UXO survey (interview village and district authorities) whether UXO is a risk in the proposed area for the subproject.	Village Facilitators	After step 1 above
3.	If step 1 and 2 above completed and confirmed that the proposed subproject is in the UXO risk areas, conduct UXO risk awareness raising for project staff, workers and communities, and contact certified agencies for UXO clearance.	DOF	After step 1 and 2 above
4.	After step 3 above completed contact NRA to obtain UXO clearance certificated	DOF	After step 3 above
5.	Implement the proposed subproject after step 4 above completed and UXO clearance certificated is granted.	Villager and contractor	After step 4 above
6.	If step 1 and 2 above completed and confirmed that the proposed subproject is not in the UXO risk	Village Facilitators	After step 1 and 2 above

	areas obtain a confirmation letter from village and district authorities.		
7.	Proceed for subproject implementation		

In the normal process, the Government will ensure that UXO survey, clearance and dispose of is conducted if project activity will be implemented in the area of UXO's risks. The government will also ensure that only costs such as allowances for UXO survey are funded by the project. UXO Clearance Certificate needs to be obtained from NRA prior to commencement of project activities in the UXO risk areas. The project proposed activities/proposals can be implemented immediately after a confirmation letter is obtained from village and district authorities for the subprojects outside the UXO risk areas.

## Annex 13: Labor Management Procedures

This Annex 13 relates to Sub-chapter 5.11. 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 and to report any kind of accident/ incident.
- To ensure that agreed rules for using non-project vehicles (public transport and private vehicles) are known and complied.
- To inform workers including community workers about the project GRM, to ensure that any grievance can be raised and addressed.

### 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 project will inform all project workers about the procedures to report project related accidents and incidents, as well as safety rules and requirements to use non-project vehicles (public transportation and private vehicles). In case the use of non-project vehicles is unavoidable, the use is only possible if following can be ensured: vehicles are in technical good conditions (e.g. regular inspections have taken place, technical inspection certificates), acceptable and valid insurance exists, driver has valid driving license and needs to be fit for purpose (e.g. no alcohol, not tired), vehicles have first aid kits. All project workers need to fasten seatbelt, wear helmets in case of use of motorbikes. Project workers have the right to refuse to use of non-project vehicles in case they feel unsafe/ or these conditions were not met. Female project workers who ride motorbikes to remote/ risky project areas/ villages must be accompanied by colleagues to prevent road safety risks, as well as risks of SEA/ SH.
- 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 or 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).

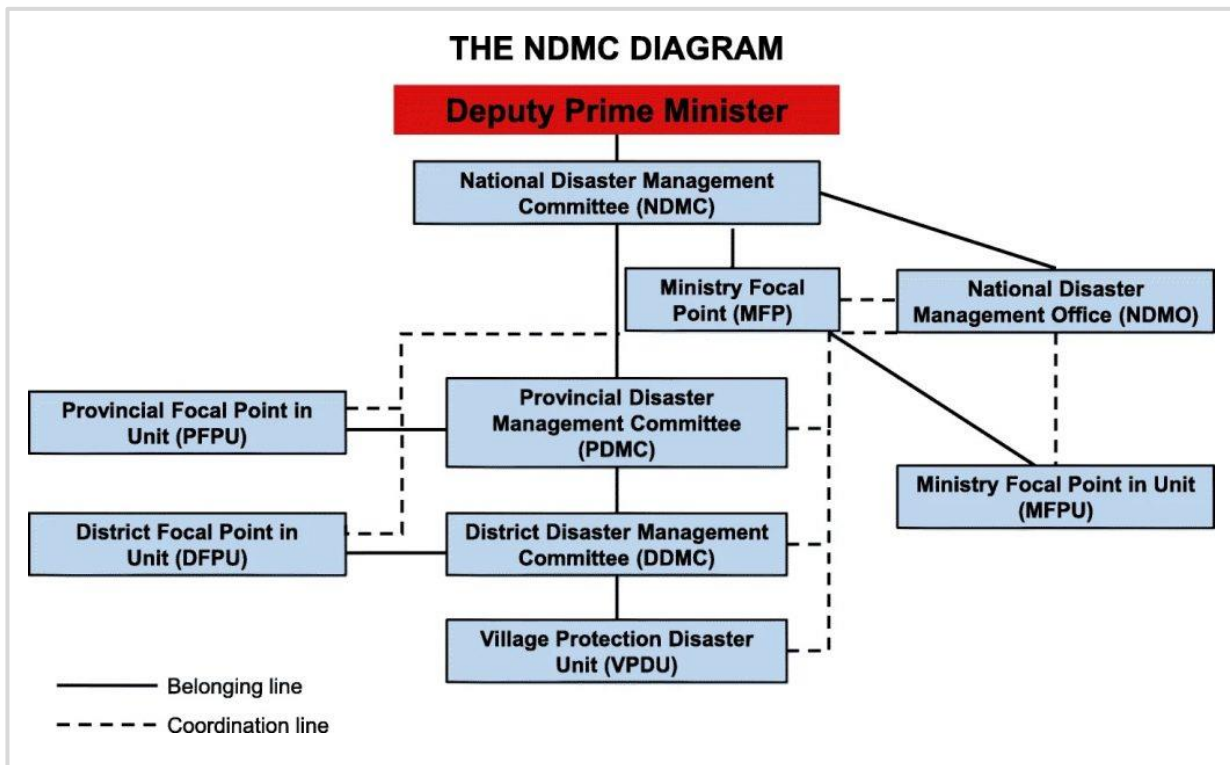
The project will acquire and share risk profiles of hazards and their impacts at national and provincial levels, which allows the assessment of exposure and vulnerability of areas to enable effective emergency and response plans and strategies.

- 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.



**Figure 5: Emergency and Disaster Management Mechanism**

## **Annex 14: Incident Reporting and Response Procedure**

The Incident Reporting and Response Procedure (IRRP) ensures timely and proper reporting and responses to incidents and accidents within the context of the LLL project. In accordance to the ESCP, the project needs to promptly notify WB of any incident or accident which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers. They can for example include car/ traffic accidents, accidents during construction of buildings and field operations, as well as criminal acts against project staff and beneficiaries, as well as violence against children and women. WB has developed an ES Incident Response Toolkit (ESRIT) to be applied, which describes the response and management process, including 10 steps, formats and responsibilities. The process includes the following steps:

- Step 1: Depending upon the type of incident, WB will send out a form (Part A) for the borrower to complete, and complete it afterwards.
- Step 2: The borrower will complete form Part B within 24 hours and submit to WB.
- Step 3: The WB considers the information that has been provided in Part B and compares it with the definitions of reportable incidents<sup>14</sup>. If the incident does not meet the definition, the WB manages the incident as part of regular project support.
- Step 4: If the incident meets a definition, the WB issues a preliminary notification, which comprises form Part A and B.
- Step 5: Investigating an incident, including its cause(s) such as immediate, underlying and root causes. The findings of the investigation should be used by the borrower to fill out form Part C<sup>15</sup>.
- Step 6: Upon receipt of form Part C and the investigation report, the WB will review and confirm that form Part C accurately reflects the findings of the investigation report within 2 business days.
- Step 7: Based on form Part C and the investigation report, the WB has 2 business days to confirm whether the project is a cause or contributing factor. If the project is not considered a cause or contributing factor, the WB complete form Part D1 and send the complete form and investigation report to ESRIT support team at WB. If the project is considered a cause or contributing factor, the WB completes form Part D2 and D3.
- Step 8: If the project is considered a cause or contributing factor, the WB issues the final bank notification, which comprises form Parts A, B, C, D and the investigation report.
- Step 9: The borrower prepares the corrective action plan, based on the related format.
- Step 10: The WB monitors the delivery of the corrective action plan.

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<sup>14</sup> Definitions of all types of incidents are provided in Annex 1, Form Part B.

<sup>15</sup> Form Part C provides definitions of fatality/ injury immediate causes (e.g. falls, trips, slips, non-project vehicle work travel).

## Form Part B: To be completed by Borrower within 24 hours

B1: Incident Details			
Date of Incident:	Time:	Date Reported to PIU:	Date Reported to WB:
Reported to PIU by:	Reported to WB by:	Notification Type:	Email/'phone call/media notice/other
Full Name of Main Contractor:		Full Name of Subcontractor:	

B2: Type of incident (please check all that apply) <sup>1</sup>
Fatality <input type="checkbox"/> Lost Time Injury <input type="checkbox"/> Displacement Without Due Process <input type="checkbox"/> Child Labor <input type="checkbox"/> Acts of Violence/Protest <input type="checkbox"/> Disease Outbreaks <input type="checkbox"/> Forced Labor <input type="checkbox"/> Unexpected Impacts on heritage resources <input type="checkbox"/> Unexpected impacts on biodiversity resources <input type="checkbox"/> Environmental pollution incident <input type="checkbox"/> Dam failure <input type="checkbox"/> Other <input type="checkbox"/>

<sup>1</sup>See Annex 1 for definitions

B3: Description/Narrative of Incident
<p><i>Please replace text in italics with brief description, noting for example:</i></p> <ol style="list-style-type: none"> <li><i>I. What is the incident?</i></li> <li><i>II. What were the conditions or circumstances under which the incident occurred (if known)?</i></li> <li><i>III. Are the basic facts of the incident clear and uncontested, or are there conflicting versions? What are those versions?</i></li> <li><i>IV. Is the incident still ongoing or is it contained?</i></li> <li><i>V. Have any relevant authorities been informed?</i></li> </ol>

B4: Actions taken to contain the incident			
Short Description of Action	Responsible Party	Expected Date	Status

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**For incidents involving a contractor:**

Have the works been suspended (for example, under GCC8.9 of Works Contract)? Yes ; No ;

Trading name of Contractor (if different from B1):

Please attach a copy of the instruction suspending the works.

**B5: What support has been provided to affected people**

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## Definition of Incident Types

The following are incident types to be reported using the environmental and social incident response process:

**Fatality:** Death of a person(s) that occurs within one year of an accident/incident, including from occupational disease/illness (e.g., from exposure to chemicals/toxins).

**Lost Time Injury:** Injury or occupational disease/illness (e.g., from exposure to chemicals/toxins) that results in a worker requiring 3 or more days off work, or an injury or release of substance (e.g., chemicals/toxins) that results in a member of the community needing medical treatment.

**Acts of Violence/Protest:** Any intentional use of physical force, threatened or actual, against oneself, another person, or against a group or community, that either results in or has a high likelihood of resulting in injury, death, psychological harm, deprivation to workers or project beneficiaries, or negatively affects the safe operation of a project worksite.

**Disease Outbreaks:** The occurrence of a disease in excess of normal expectancy of number of cases. Disease may be communicable or may be the result of unknown etiology.

**Displacement Without Due Process:** The permanent or temporary displacement against the will of individuals, families, and/or communities from the homes and/or land which they occupy without the provision of, and access to, appropriate forms of legal and other protection and/or in a manner that does not comply with an approved resettlement action plan.

**Child Labor:** An incident of child labor occurs: (i) when a child under the age of 14 (or a higher age for employment specified by national law) is employed or engaged in connection with a project, and/or (ii) when a child over the minimum age specified in (i) and under the age of 18 is employed or engaged in connection with a project in a manner that is likely to be hazardous or interfere with the child's education or be harmful to the child's health or physical, mental, spiritual, moral or social development.

**Forced Labor:** An incident of forced labor occurs when any work or service not voluntarily performed is exacted from an individual under threat of force or penalty in connection with a project, including any kind of involuntary or compulsory labor, such as indentured labor, bonded labor, or similar labor-contracting arrangements. This also includes incidents when trafficked persons are employed in connection with a project.

**Unexpected Impacts on heritage resources:** An impact that occurs to a legally protected and/or internationally recognized area of cultural heritage or archaeological value, including world heritage sites or nationally protected areas not foreseen or predicted as part of project design or the environmental or social assessment.

**Unexpected impacts on biodiversity resources:** An impact that occurs to a legally protected and/or internationally recognized area of high biodiversity value, to a Critical Habitat, or to a Critically Endangered or Endangered species (as listed in IUCN Red List of threatened species or equivalent national approaches) that was not foreseen or predicted as part of the project design or the environmental and social assessment. This includes poaching or trafficking of Critically Endangered or Endangered species.

**Environmental pollution incident:** Exceedances of emission standards to land, water, or air (e.g., from chemicals/toxins) that have persisted for more than 24 hrs or have resulted in harm to the environment.

**Dam failure:** A sudden, rapid, and uncontrolled release of impounded water or material through overtopping or breakthrough of dam structures.

**Other:** Any other incident or accident that may have a significant adverse effect on the environment, the affected communities, the public, or the workers, irrespective of whether harm had occurred on that occasion. Any repeated non-compliance or recurrent minor incidents which suggest systematic failures that the task team deems needing the attention of Bank management.

## Form Part C: To be completed by Borrower (following investigation)

### C1: Investigation Findings

Please replace text in italics with findings, noting for example:

- I. *where and when the incident took place,*
- II. *who was involved, and how many people/households were affected,*
- III. *what happened and what conditions and actions influenced the incident,*
- IV. *what were the expected working procedures and were they followed,*
- V. *did the organization or arrangement of the work influence the incident,*
- VI. *were there adequate training/competent persons for the job, and was necessary and suitable equipment available,*
- VII. *what were the underlying causes; where there any absent risk control measures or any system failures,*

**C2: Corrective Actions from the investigation to be implemented (To be fully described in Corrective Action Plan)**

Action	Responsible Party	Expected Date

**Part C cont.: To be completed by Borrower (following investigation)**

**C3a: Fatality/Lost time Injury information**

Immediate cause of fatality/injury for worker or member of the public (please check all that apply) <sup>2</sup>:

1. Caught in or between objects  2. Struck by falling objects  3. Stepping on, striking against, or struck by objects   
 4. Drowning  5. Chemical, biochemical, material exposure  6. Falls, trips, slips  7. Fire & explosion   
 8. Electrocutation  9. Homicide  10. Medical Issue  11. Suicide  12. Others

*Vehicle Traffic:* 13. Project Vehicle Work Travel  14. Non-project Vehicle Work Travel

15. Project Vehicle Commuting  16. Non-project Vehicle Commuting  17. Vehicle Traffic Accident (Members of Public Only)

Name	Age/DOB	Date of Death/Injury	Gender	Nationality	Cause of Fatality/Injury	Worker (Employer)/Public

<sup>2</sup>See Annex 2 for definitions



**C3b: Financial Support/Compensation Types (To be fully described in Corrective Action Plan template)**

1. Contractor Direct  2. Contractor Insurance  3. Workman's Compensation/National Insurance

4. Court Determined Judicial Process  5. Other  6. No Compensation Required

Name	Compensation Type	Amount (US\$)	Responsible Party

**C4: Supplementary Narrative**

## Definition of fatality/injury immediate causes

1. **Caught in or between objects:** caught in an object; caught between a stationary object and moving object; caught between moving objects (except flying or falling objects).
2. **Struck by falling objects:** slides and cave-ins (earth, rocks, stones, snow, etc.); collapse (buildings, walls, scaffolds, ladders, etc.); struck by falling objects during handling; struck by falling objects.
3. **Stepping on, striking against, or struck by objects:** stepping on objects; striking against stationary objects (except impacts due to a previous fall); Striking against moving objects; Struck by moving objects (including flying fragments and particles) excluding falling objects.
4. **Drowning:** respiratory impairment from submersion/emersion in liquid.
5. **Chemical, biochemical, material exposure:** exposure to or contact with harmful substances or radiations.
6. **Falls, trips, slips:** falls of persons from heights (e.g., trees, buildings, scaffolds, ladders, etc.) and into depths (e.g., wells, ditches, excavations, holes, etc.) or falls of persons on the same level.
7. **Fire & explosion:** exposure to or contact with fires or explosions.
8. **Electrocution:** exposure to or contact with electric current.
9. **Homicide:** a killing of one human being by another.
10. **Medical Issue:** a bodily disorder or chronic disease.
11. **Suicide:** the act or an instance of taking, or attempting to take, one's own life voluntarily and intentionally.
12. **Others:** any other cause that resulted in a fatality or injury to workers or members of the public.

### Vehicle Traffic

13. **Project Vehicle Work Travel:** traffic accidents in which project workers, using project vehicles, are involved during working hours and which occur in the course of paid work.
14. **Non-project Vehicle Work Travel:** traffic accidents in which project workers, using non-project vehicles, are involved during working hours and which occur in the course of paid work.
15. **Project Vehicle Commuting:** traffic accidents in which project workers, using project vehicles, are involved while travelling to (i) the worker's principal or secondary residence; (ii) the place where the worker usually takes his or her meals; or (iii) the place where he or she usually receives his or her remuneration.
16. **Non-project Vehicle Commuting:** traffic accidents in which project workers, using non-project vehicles, are involved while travelling to (i) the worker's principal or secondary residence; (ii) the place where the worker usually takes his or her meals; or (iii) the place where he or she usually receives his or her remuneration.
17. **Vehicle Traffic Accident (Members of Public Only):** traffic accidents in which non-project workers/members of the public are involved in an accident while travelling for any purpose.

## Corrective Action Plan Template

*As a general guide, the Corrective Action Plan should be based around the summary table, with additional supporting text and information to adequately describe the measures and how they will achieve the corrective actions to address the immediate, underlying, and root causes identified in the investigation report.*

*As incident information could be considered prejudicial, may concern medical conditions/personal health issues, or may result in retaliation (including information regarding SEA/SH and any incidents of discrimination related to SOGI), the incident information gathered should be treated in confidence and care should be taken to maintain confidentiality when preparing the Corrective Action Plan.*

### Corrective Action Plan Summary Table Template (*with example text in italics*)

#	Action (From Incident Form)	Measures to be Taken	Responsible Party	Completion Date	Status Update
1	<i>Speed control of construction vehicles</i>	<ul style="list-style-type: none"> <li><i>i. Remove contractual incentives for speeding</i></li> <li><i>ii. Install speed governors and GPS tracking in construction vehicles</i></li> <li><i>iii. Install traffic signs in accordance with standard (e.g. Guide to Traffic Signing 2021)</i></li> <li><i>iv. Provide training to drivers on the dangers of speeding</i></li> <li><i>v. Monitor individual driver performance on a weekly basis</i></li> <li><i>vi. Review weekly driver reports for signs of speeding</i></li> <li><i>vii. Update Traffic Management Plan for approval of Supervising Engineer</i></li> </ul>	<ul style="list-style-type: none"> <li><i>i. Contractor</i></li> <li><i>ii. Contractor</i></li> <li><i>iii. Contractor</i></li> <li><i>iv. Supervising Engineer</i></li> <li><i>v. Contractor</i></li> <li><i>vi. Supervising Engineer</i></li> <li><i>vii. Contractor</i></li> </ul>	<ul style="list-style-type: none"> <li><i>i. April 15, 2023</i></li> <li><i>ii. May 5, 2023</i></li> <li><i>iii. April 20, 2023</i></li> <li><i>iv. April 15, 2023</i></li> <li><i>v. May 30, 2023</i></li> <li><i>vi. May 30, 2023</i></li> <li><i>vii. June 3, 2020</i></li> </ul>	<ul style="list-style-type: none"> <li><i>i. Completed</i></li> <li><i>ii. On-track</i></li> <li><i>iii. Delayed</i></li> <li><i>iv. Completed</i></li> <li><i>v. Ongoing</i></li> <li><i>vi. On-track</i></li> <li><i>vii. On-track</i></li> </ul>
2	<i>Establish UXO Chance Find Procedure</i>	<p><i>Chance find procedure to include:</i></p> <ul style="list-style-type: none"> <li><i>i. Risk factors such as the geophysical characteristics of excavation areas</i></li> </ul>	<i>Chance find procedure to be prepared by Contractor and</i>	<i>January 23, 2020</i>	<i>On-track: first draft in review</i>

		<p>and depth of excavation, the civil war history,</p> <p>ii. Detailed written information and maps to be obtained from Borrower/implementer(s) about past surveys and clearance operations before construction can begin,</p> <p>iii. Situations where mechanical excavation should be chosen over manual excavation,</p> <p>iv. How to safely conduct manual excavation where mechanical excavation is not possible (with input from the Borrower/implementer(s) and/or other demining experts),</p> <p>v. Develop an adequate training program for workers.</p>	<p>reviewed by Supervising Engineer</p>		
3	<p>Establish Permit to Dig Procedure</p>	<p>Permit to dig procedure should be developed prior to resuming excavation works</p> <p>Permit to dig procedure to be approved</p> <p>Train Foreman and construction managers on permit to dig process and requirements</p> <p>Include all permits to dig in next two monthly reports</p>	<p>i. Contractor</p> <p>ii. Supervising Engineer</p> <p>iii. Contractor</p> <p>iv. Contractor</p>	<p>April 10, 2023</p> <p>April 17, 2023</p> <p>April 24, 2023</p> <p>July 31, 2023</p>	<p>i. Completed</p> <p>ii. Delayed</p> <p>iii. Delayed</p> <p>iv. On track</p>
4	<p>Payment of Compensation</p>	<p>a. Name</p> <p>i. Compensation Type</p> <p>ii. Amount</p> <p>b. Name</p> <p>iii. Compensation Type</p> <p>iv. Amount</p>	<p>a. Responsible Party</p> <p>b. Responsible Party</p>	<p>a. [date paid]</p> <p>b. [date paid]</p>	<p>a. Ongoing Implemented</p> <p>b. Ongoing implemented</p>

## **Annex 15: Community Health and Safety Plan Note**

This Annex 15 relates to Sub-chapter 5.13. The Environmental and Social Standard on Community Health and Safety (ESS4) recognizes that project activities, equipment, and infrastructures can increase community exposure to risks and impacts. In addition, communities that are already subjected to impacts from climate change may also experience an acceleration or intensification of impacts due to project activities. It addresses the health, safety, and security risks and impacts on project-affected communities and the corresponding responsibility of Borrowers to avoid or minimize such risks and impacts, with particular attention to people who, because of their particular circumstances, may be vulnerable.

The ESS4 requires Borrowers to:

- Anticipate or avoid adverse impacts on the health and safety of project-affected communities during project life-cycle from routine and non-routine circumstances
- Promote quality, safety, and climate change considerations in infrastructure design and construction
- Avoid or minimize community exposure to project-related traffic and road safety risks, diseases and hazardous materials, and have in place effective measures to address emergency events
- Ensure that safeguarding of personnel and property is carried out in a manner that avoids or minimizes risks to the project-affected communities

ESS4 puts an emphasis on community exposure to risks and impacts of project. This includes road safety risks; and risks associated with security personnel. ESS4 requires Borrowers to address water-related, communicable and non-communicable diseases that can result from projects activities. Cognizant of the fact that projects' direct impacts on ecosystem services can affect the health and safety of communities, ESS4 mandates Borrowers to identify and mitigate these impacts. In projects that involve the provision of services to communities, ESS4 requires Borrowers to apply the concept of universal access, where technically and financially feasible.

### **Community health and safety**

The LLLL project is committed to continuous effort to identify and eliminate or manage safety risks associated with its activities and, in general, to continuous improvement of its performance in health, safety, and environment.

- Design and maintain facilities, establish management systems, provide training, and conduct operations in a manner that safeguards people and property
- Respond quickly, effectively, and with care to emergencies or accidents resulting from its operations, cooperating with industry organizations and authorized government agencies
- Comply with all applicable laws and regulations and apply responsible standards
- Stress to all employees, contractors, and others working in its behalf their responsibility
- and accountability for safety performance on the job and encourage safe behavior off the job
- Undertake appropriate reviews and evaluations of its operations to measure progress and to ensure compliance with this safety policy.

### **Human rights**

The LLL Project commits to protect the security of its personnel, facilities and operations and respects human rights. The project approach, practices and operations reflect the spirit and intent of the Universal Declaration of Human Rights (United Nations, 1948) and the spirit and intent of

the ILO Declaration on Fundamental Principles and Rights at Work (International Labor Organization, 1998).

### **Infrastructure and equipment design and safety**

The LLL project will apply the concept of universal access in the design and construction of new buildings and structures where technically and financially feasible, the project should, among other things:

- (a) Consider universal access as part of the project design;
- (b) Seek input from stakeholders, such as potential users of the buildings and structures and organizations representing disabled people;
- (c) Explicitly incorporate into procurement documents considerations relating to universal access for disabled people
- (d) All new buildings accessible to the public should be designed, constructed, and operated in full compliance with local building codes, local fire department regulations, local legal/insurance requirements, and in accordance with an internationally accepted life and fire safety (L&FS) standard
- (e) Fire prevention addresses the identification of fire risks and ignition sources, and measures needed to limit fast fire and smoke development. New buildings will include fire suppression devices such as manual portable extinguishers and fire hose reels.

### **Safety of services**

The LLL Project will establish and implement appropriate quality management systems to anticipate and minimize risks and impacts that such services may have on community health and safety.

### **Traffic and road safety**

The project will commit to incorporate technically and financially feasible road safety measures into the project design to prevent and mitigate potential road safety risks to road users and affected communities.

The project will enforce road safety measures including reduces speed in settlements and other area according to the speed limit law, wearing helmet while driving motorbike is compulsory, prohibition of consumption of alcohol while driving according to the NA Law of Land Traffic Na/02.8 April 2000 and the Decree on Fines and Measures against Violators of Laws and Regulations on Road Traffic, Land Transportation and Protection of National Roads No. 188/PM, dated 03 July 2007. In case of accident, project stakeholders should immediately call the emergency number #1623 (national coverage).

The project will also support the adoption of best transport safety practices across all aspects of project operations with the goal of preventing traffic accidents and minimizing injuries suffered by project personnel and the public. This includes also avoiding dangerous routes and times of day to reduce the risk of accidents especially in the rainy season. The project could also collaborate with local communities and responsible authorities to improve signage, visibility and overall safety of roads, particularly along stretches located near schools or other locations where children may be present. Collaborating with local communities on education about traffic and pedestrian safety (e.g. school education campaigns) could be an option. Regarding construction work, contractors will be responsible for the preparation of traffic management plans to assure minimum disturbance during implementation and operation.

## **Ecosystem services**

The project's direct impacts on ecosystem services may result in adverse health and safety risks to and impacts on affected communities. The project will identify the project's potential risks and impacts on ecosystem services that may be exacerbated by climate change. Adverse impacts will be avoided, and if they are unavoidable, the project will implement appropriate mitigation measures.

## **Community Exposure to Health Issues**

The project will avoid or minimize the potential for community exposure to waterborne, water based, water-related, and vector-borne diseases, and communicable and non-communicable diseases that could result from project activities, taking into consideration differentiated exposure to and higher sensitivity of vulnerable groups. The project will take measures to avoid or minimize transmission of communicable diseases that may be associated with the influx of temporary or permanent project labor.

Communicable diseases of most concern due to labor mobility are sexually-transmitted diseases (STDs), such as HIV/AIDS. Recognizing that no single measure is likely to be effective in the long term, successful initiatives typically involve a combination of behavioral and environmental modifications. Project staff, Consultants and Volunteers as well as contractors and their workers will have to sign and commit to a Code of Conduct that will contribute to reduce the risk of sexually-transmitted diseases. This said, not all project staff and team are expected to stay overnight or camp in the community to be visited during their field works. They may opt to stay in guest houses, district staff dormitories and in their relatives' houses where possible as the project will cover their per diem and accommodation costs during the field work. This would help minimize potential community health and safety issues including GBV/VAC risks.

Ecotourism activities place people at risk due to participation in risky activities at extreme or remote environments. Infectious disease threats to tourists include the usual intestinal pathogens acquired through fecal-oral transmission, usually involving contaminated food and water. Ecotourism also sometimes potentially puts wildlife and destination communities at risk as humans are also responsible for the transmission of pathogens to nonhuman animals (known as anthroozoonoses) especially in the context of ecotourism promoting direct encounters with wildlife. The project will conduct awareness raising sessions in guardian villages in order for villagers to learn about risks associated to contact with primate and other wild species. Private eco-tourism companies will be responsible of informing their clients about the risks of infection diseases, pathogens and about suitable behavior at community level.

Ecotourism may also have socioeconomic and cultural impacts on host communities. Many studies observe changes in individual behavior, family relationship, moral conduct, traditional ceremonies, community organizations, as ecotourism can trigger social instability and reshape sociocultural framework and transformation of relationship between ethnic group, class and gender. To avoid the disruption of social structure, it is crucial that the local communities become involved in all steps of planning and development of ecotourism. FPIC protocol will ensure that communities are in the driver seat and fully informed to take the relevant decision regarding ecotourism in during project phases and access the project grievance redress mechanism.

Strict code of conduct for project staff and awareness raising with relevant district authorities, campaign targeting project staff, tourists and communities will contribute to reduce the risks of infectious diseases and sexually-transmitted diseases spreading among target communities. Different CORONA-19 preventive measures will be applied in the context of the LLL project (see Annex 16).

## **Management and safety of hazardous materials**

The LLL project is unlikely to expose communities to hazardous substances and materials. Nevertheless, in case some components would involve the use of hazardous substances, the

project will implement measures and actions to control the safety of deliveries of hazardous materials, and of storage, transportation, and disposal of hazardous materials and wastes, and will implement measures to avoid or control community exposure to such hazardous material.

The project and third parties including private companies involved in forest plantation and ecotourism must have a written environmental/sustainability policy appropriate to the size and nature of their operations that, where applicable, addresses preventing, mitigating and controlling serious environmental and health impacts from operations including raw material usage, greenhouse gas emissions, water, waste, air quality and biodiversity.

Third parties will have to abide by all legislation and regulations related to the protection of the environment and the handling of dangerous and hazardous materials. Concerning the eligibility for Village Development Fund, the project will screen all proposal based on a non-eligibility list that will includes pesticide and other hazardous substances and material.



## **Annex 16: Letter of Appointment and Code of Conducts**

This Annex 16 relate to Sub-chapter 5.11, and includes Letter of Appointments for Project Staff, Consultants and Young Graduates, as well as Code of Conducts (CoC) for contractors, workers and tourists.

### **Letter of Appointment for Project Staff, Consultants and Young Graduates**

The LLL Project staff (direct workers), consultants and young graduates (indirect workers) are personally and collectively responsible for upholding and promoting the highest standards of ethical and professional conduct. The Project capacity to ensure the protection of and assistance to the women and children that we work with, depends on the ability of all stakeholders to uphold and promote the highest standards of ethical and professional conduct.

The purpose of this policy is to provide advice on the standards of behavior that are required of project staff, consultants and young graduates. It provides guidance, promotes ethical behavior and sets expectations across all locations.

#### Applicability

- Where government civil servants are working in connection with the project, whether full time or part time, they will remain subject to the terms and conditions of their existing public sector employment agreement or arrangement, unless there has been an effective legal transfer of their employment or engagement to the project.

#### Ethical considerations

- Government staff should commit and respect the article 54 and 55 of the section 2 on responsibility of government staff; article 56, 57 and 58 of the section 3 on obligations of government staff and article 59 to 63 of the section 4 on ethical considerations of government staff (Law on Government staff, NA/No.74/18/12/2015).
- Government staff shall be committed to the Decree on Code of Conduct (26/06/2019) for civil servants, representatives from the Lao Front for National Construction, Mass Organizations from central level to the grassroots, etc. The article 9 on ethical concerns related to citizen and society is of particular importance as it emphasize transparency, exemplary behavior and principle of equality in the service of the population.

#### Violence against women and children

- All people should commit to the principles, rules and measures for preventing and combating violence against women and children embedded in the Law on Preventing and Combatting Violence against Women and Children, Na No. 56, 23/12/2014
- All people should commit to the principles, rules and measures relating to the Law on the Protection of the Rights and Interests of Children No.4, NA, 27/12/2006

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

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

Position: \_\_\_\_\_

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

### **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: \_\_\_\_\_

## Code of Conduct, Workers

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

I, \_\_\_\_\_, acknowledge that adhering to environmental, social, health and safety (ESHS) standards, following the project's occupational health and safety (OHS) requirements, and preventing Violence Against Children (VAC) and Gender-Based Violence (GBV) is important.

The Contractor considers that failure to follow ESHS and OHS standards, or to partake in activities constituting VAC or GBV—be it on the work site, the work site surroundings, at workers' camps, or the surrounding communities—constitute acts of gross misconduct and are therefore grounds for sanctions, penalties or potential termination of employment. Prosecution by the Police of those who commit GBV or VAC may be pursued if appropriate.

I agree that while working on the project I will:

- a. Attend and actively partake in training courses related to ESHS, OHS, VAC and GBV as requested by my employer.
- b. Take all practical steps to implement the environmental and social management framework (ESMF) and the Community Engagement Framework (CEF).
- c. Will comply with any and all OHS measures and security instructions and guidelines and adhere to legal and organizational health, safety and environment requirements in force at the location of my work; and
- d. Will conduct myself in such a way as to avoid any unnecessary risk to the safety, security, health and welfare of myself and others, including personnel of partner organizations and stakeholders and communities.
- e. Adhere to a zero-alcohol policy during work activities, and refrain from the use of narcotics or other substances which can impair faculties at all times.
- f. Treat women, children (persons under the age of 18), and men with respect regardless of race, color, language, religion, political or other opinion, national, ethnic or social origin, property, disability, birth or other status.
- g. Not use language or behavior towards women, children or men that is inappropriate, harassing, abusive, sexually provocative, demeaning or culturally inappropriate.
- h. Not sexually exploit or abuse project beneficiaries and members of the surrounding communities.
- i. Not engage in sexual harassment of work personnel and staff—for instance, making unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature is prohibited: i.e. looking somebody up and down; kissing, howling or smacking sounds; hanging around somebody; whistling and catcalls; in some instances, giving personal gifts.
- j. Not engage in sexual favors—for instance, making promises of favorable treatment (i.e. promotion), threats of unfavorable treatment (i.e. loss of job) or payments in kind or in cash, dependent on sexual acts—or other forms of humiliating, degrading or exploitative behavior.
- k. Not use prostitution in any form at any time.
- l. Not participate in sexual contact or activity with children under the age of 18—including grooming or contact through digital media. Mistaken belief regarding the age of a child is not a defense. Consent from the child is also not a defense or excuse.

- m. Unless there is the full consent by all parties involved, I will not have sexual interactions with members of the surrounding communities. This includes relationships involving the withholding or promise of actual provision of benefit (monetary or non-monetary) to community members in exchange for sex (including prostitution). Such sexual activity is considered “non-consensual” within the scope of this Code.
- n. Avoid involvement in any criminal activities, activities that contravene human rights and will not participate in any forms of illegal activity
- o. Perform my duties in a manner that avoids foreseeable conflict of interest and will conduct all official duties with integrity, free from any taint of dishonesty or corruption, including not engaging in any act of favoritism, nepotism, cronyism, or bribery.
- p. Must not disclose or use anything which could be considered intellectual property, other property, or confidential information belonging to the project without prior permission from the project or as required by law. It is unacceptable for me to make unauthorized use or disclosure of information to which I have had access
- q. Ensure minimum environment impact and will avoid purchasing wild game or endangered animal species or go hunting and will avoid littering (throwing away plastic bottles, shampoo recipient, plastic bags, etc.).
- r. Will not discriminate against anyone on the basis of race, color, gender, disability, ethnic or national origin, age, religion, sexual orientation, marital or family status, civil status, pregnancy or other grounds
- s. Engage with communities based upon mutual trust and respect cultural practices, position of authorities, customary law and practices, rituals and culturally significant areas.
- t. Will not remove, acquire or trade any national cultural, historical and natural heritage (immovable or movable, tangible or intangible) from the project target areas.
- u. Consider reporting through the GRM or to my manager any suspected or actual GBV by a fellow worker, whether employed by my company or not, or any breaches of this Code of Conduct.

With respect to children under the age of 18:

- a. Bring to the attention of my manager the presence of any children on the construction site or engaged in hazardous activities.
- b. Wherever possible, ensure that another adult is present when working in the proximity of children.
- c. Not invite unaccompanied children unrelated to my family into my home, unless they are at immediate risk of injury or in physical danger.
- d. Not use any computers, mobile phones, video and digital cameras or any other medium to exploit or harass children or to access child pornography.
- e. Refrain from physical punishment or discipline of children.
- f. No hiring of children for any project activity (no persons under the age of 18).
- g. Must refrain from sexual activity with any person under the age of 18, regardless of the local age of consent, i.e. the local or national laws. Ignorance or mistaken belief of the child’s age is not a defense. Failure to report such a relationship may lead to disciplinary action pursuant national laws and regulations;
- h. Will not support or take part in any form of sexual exploitative or abusive activities, including, for example, child pornography or trafficking of human beings;

- i. Will treat all children with respect and not use language or behavior towards children that is inappropriate, harassing, abusive, sexually provocative, demeaning or culturally inappropriate;
- j. Will protect, manage and utilize project human, financial and material resources appropriately and will never use the project resources, including the use of computers, cameras, mobile phones or social media, to exploit or harass participants of the project, children or others in the communities in which the project works
- k. Will prevent, oppose and combat all exploitation and abuse of children
- l. Sensitive information related to incidents of sexual exploitation and abuse or child abuse whether involving colleagues, project participants or others in the communities in which the project works shall be shared only with the relevant authorities

### **Sanctions**

I understand that if I breach this Individual Code of Conduct, my employer will take disciplinary action which could include:

- a. Informal warning;
- b. Formal warning;
- c. Additional Training;
- d. Loss of up to one week's salary;
- e. Suspension of employment (without payment of salary), for a minimum period of 1 month up to a maximum of 6 months;
- f. Termination of employment;
- g. Report to the Police if warranted.

I understand that it is my responsibility to ensure that the environmental, social, health and safety standards are met. That I will adhere to the occupational health and safety management plan. That I will avoid actions or behaviors that could be construed as VAC or GBV. Any such actions will be a breach this Individual Code of Conduct. I do hereby acknowledge that I have read the foregoing Individual 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 issues. I understand that any action inconsistent with this Individual Code of Conduct or failure to act mandated by this Individual Code of Conduct may result in disciplinary action and may affect my ongoing employment.

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

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

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

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

## **Code of Conduct, Tourists**

Behavior inside Protected Areas should abide to the relevant national laws and regulations to minimize environmental and social impact and promote sustainable development. This includes the Wildlife and Aquatic Law, Na, Mo. 07, 24/12/2007, Prime Minister's Order No. 05, 8/05/2018 On Strengthening Strictness of the Management and Inspection of Prohibited Wild Fauna and Flora, the Law on Tourism (Amended) No. 32/NA, 24/07/2013 and in line with the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) of which Lao PDR is signatory.

I, \_\_\_\_\_, acknowledge that adhering to all relevant environmental and social regulations and laws related to the Protected Areas in order to minimize environmental and social impact and promote sustainable development.

I agree that while working on the project I will:

## **Regulations**

1. Will not enter the Protected Areas without proper authorization
2. Will avoid littering (throwing away plastic bottles, shampoo recipient, plastic bags, etc.).
3. Will not burn rubbish inside the Protected Areas
4. Will not use speakers or loud equipment in protected areas
5. Will light firewood only in designated areas
6. Camping or bivouacking outside designated areas is not permitted.
7. Avoid wandering off recommended trekking routes. You may damage the grounds, step on nests, eggs, or mess up scents spread by wildlife, or even encounter toxic plants species and animals
8. Will not carry any types of weapons or illicit substances or drugs in the Protected Area
9. Will not disseminate any issues which are against the regulations and laws of the country

## **Animals**

1. Will not scare wildlife. Will not make loud noises among wildlife; females may leave their new-born behind.
2. Will not eat or consume wild animals (terrestrial or aquatic)
3. Will not remove, buy or sell parts, organs of protected animals, birds or fish
4. Will keep distance at all times! Will not run or swim after them. Will not touch, put traps or use sound or call wild animals. Touching wild animals habituate them to human-beings, and paradoxically often result in aggressive behavior and once habituated to humans, they become an easy target for hunters
5. In order to avoid diseases transmissions between human and primate and vice versa, visitors' health is checked before permitting entry into PAs and those suffering from an illness should consider the risk of transmitting human diseases such as flu to primates. Diseases which are currently only found in primates may also have the potential to infect humans in the future as well. For this reason, primates and humans should not touch each other and preferably keep a well-defined distance.

## **Plants**

6. Will not cut trees, use or sell timber, Non-timber Forest Products (NTFPs)



7. Will not touch or collect wild-growing plants, flowers or trees or NTFPs from their natural place. (Some plants are highly toxic, it is a system of defense that can be very efficient, so better leave them alone. Unregulated tree/plant/flower collection from the wild is not acceptable because wildlife feeds itself with the products of nature and some are dependent on certain kind of trees/plants/flowers; if these trees, plants, flowers get damaged and die, the animals depending on them will die too.

### **People**

8. Engage with communities based upon mutual trust and respect cultural practices, position of authorities, customary law and practices, rituals and culturally significant areas.
9. Will not discriminate against anyone on the basis of race, color, gender, disability, ethnic or national origin, age, religion, sexual orientation, marital or family status, civil status, pregnancy or other grounds
10. Will not get involve in human trafficking, Gender-Based Violence (GBV) or Violence Against Children (VAC) in Protected Areas
11. Will be considerate visitors who take nothing except for memories and data stored on memory sticks, and leave nothing but footprints.

### **National heritage**

12. Will not remove, acquire or trade any national cultural, historical and natural heritage (immovable or movable, tangible or intangible) from the project target areas.

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

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

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

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

## Annex 17: Cultural Heritage Framework (CHF)

This Annex 17 relates to Sub-chapter 5.14. This Cultural Heritage Framework take into consideration the following regulations and law

- ESS8: Cultural Heritage
- Presidential Decree No, 03/PR of the President of the Lao PR on the Preservation of Cultural, Historical and Natural Heritage, 1997
- National Assembly Law on National Heritage, No. 08/NA, 9 November 2005
  - Pursuant to Article 17, 19 and 53.2 of the Constitution of the Lao PDR;
  - Pursuant to the Forestry Law No. 01-96/NA of 11/10/1996;
  - Pursuant to the Water and Water Resource Law No. 20-96/NA of 11/10/1996;
  - Referring to the proposal of the National Assembly Standing Committee No. 19/NASC of 12 June 1997 on the preservation of the national cultural, historical and natural heritage.

The ESS8 recognizes that cultural heritage provides continuity in tangible and intangible forms between the past, present, and future. People identify with cultural heritage as a reflection and expression of their constantly evolving values, beliefs, knowledge, and traditions. Cultural heritage, in its many manifestations, is important as a source of valuable scientific and historical information, as an economic and social asset for development, and as an integral part of people's cultural identity and practice. ESS8 sets out measures designed to protect cultural heritage throughout the project life cycle.

### Objectives

- To protect cultural heritage from the adverse impacts of project activities and support its preservation.
- To address cultural heritage as an integral aspect of sustainable development.
- To promote meaningful consultation with stakeholders regarding cultural heritage.
- To promote the equitable sharing of benefits from the use of cultural heritage.

According to the ESS8, the term 'cultural heritage' encompasses tangible and intangible heritage, which may be recognized and valued at a local, regional, national, or global level, as follows:

- **Tangible cultural heritage**, which includes movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Tangible cultural heritage may be located in urban or rural settings, and may be above or below land or under the water; and
- **Intangible cultural heritage**, which includes practices, representations, expressions, knowledge, and skills—as well as the instruments, objects, artifacts, and cultural spaces associated therewith—that communities and groups recognize as part of their cultural heritage, as transmitted from generation to generation and constantly recreated by them in response to their environment, their interaction with nature, and their history.

The requirements of this ESS8 will apply to all projects that are likely to have risks or impacts on cultural heritage. This will include a project which:

- (a) Involves excavations, demolition, movement of earth, flooding, or other changes in the physical environment;
- (b) Is located within a legally protected area or a legally defined buffer zone;
- (c) Is located in, or in the vicinity of, a recognized cultural heritage site; or

- (d) Is specifically designed to support the conservation, management, and use of cultural heritage.

The Presidential Decree No, 03/PR provides definition of natural Heritage:

- National cultural, historical and natural heritage refers to the public, collective or personal assets holding cultural importance or historical importance and constituting evidence of the Lao country, ancestors and the general origin of the Lao people, including artifacts with historical, artistic value and of over fifty (50) years old and natural sites represent the national heritage according to the definition provided by this Presidential Decree.

The definition of national heritage in the Lao PDR Law on National Heritage established in November 2005 says,

- National Heritage refers to items produced by mankind or formed by nature that have outstanding cultural, historical or natural value, thereby becoming precious assets and property of the Lao national community, some of which are adopted as regional and world heritage. National heritage consists of cultural, historical and natural heritage existing in the form of tangible objects, intangible items, moveable or immovable.

In Lao PDR, the national heritage management authority is assigned to the Ministry of Information and Culture, the Province, Municipality and Special Zone Information and Culture Services, the District Information and Culture Offices and Village Administrative Authorities. To ensure the efficient management, conservation and preservation of the national heritage, an agency may be established to provide consultations or opinions on such activities. The national cultural, historical and natural heritage is classified as follows:

1. **Immovable national heritage** (Article 6); artifacts, archeological ruins, national historical ruins which may not be removed, such as the That Luang Stupa, Phakeo Temple, in Vientiane, Xiengthong Temple in Luang Prabang, the Plain of Jars and others.
2. **Movable national heritage** (Article 7); artifacts, which may be removed, such as Buddha statues, bronze drums, spears, swords, bracelets, ancient pottery and others.
3. **Natural national heritage** (Article 8): comprised of the beautiful environment, including natural scenery occurring naturally, panoramas of natural sites and constructions, and architectures of high historical, artistic, scientific, technical, ethnological or environmental value and which should be preserved as national heritage, such as Khon Phapheng, Tat Kuangsy waterfalls, Ting Cave in Luang Prabang and others.

The 2005 law on National Heritage distinguishes Cultural Heritage, Historical Heritage and Natural Heritage consisting in Natural heritage having scenic value and Natural heritage having scientific [or] ecological value.

**Natural Heritage Having Scenic Value:** Natural heritage having scenic value refers to heritage [areas] which have outstanding aesthetic value, [or] are pure in biodiversity, namely: national conservation forests, biodiversity conservation areas, natural caves, waterfalls, rapids, cascades<sup>14</sup>, streams, islands, mountains, cliffs, aquatic and wild animals, lakes, marshes, canals, ponds, and others...

**Natural Heritage Having Scientific, [or] Ecological Value:** Natural heritage having scientific or ecological value refers to heritage [areas] which have precious natural value, and which are significant, [and] outstanding from the point of view of geology, biology, [and] geography.

### **Applicability of the ESS8**

The requirements of ESS8 apply to tangible and intangible cultural heritage only if a physical component of a project will have a material impact on such cultural heritage or if a project intends to use such cultural heritage for commercial purposes.

The project will avoid impacts on tangible and intangible cultural heritage. When avoidance of impacts is not possible, the project will identify and implement measures to address impacts on tangible and intangible cultural heritage.

### **Mitigation measures related to the protection and promotion of the national tangible and intangible National Heritage**

It is important to consider the risks and impacts to tangible and intangible cultural heritage at all stages of the LLL project cycle as part of the environmental and social assessment. Early attention to tangible and intangible cultural heritage is particularly important as its presence may need to be considered in the design of, and during, the project.

Documentation/ inventory:

- The project will determine the presence of all listed legally protected cultural heritage areas affected by the project.
- The project will inventory all culturally significant areas in each landscape, area and villages in collaboration with the relevant authorities at central, provincial, district and village level.
- The project will screen the project area and assess potential impacts on cultural heritage, both tangible and intangible. The site selection for each activities will be mindful of tangible and intangible cultural heritage and the application of ESS8 will be further assessed under each activities.
- The project stakeholders including district staffs, National Consultants, International Advisers, Private Actors, Government agencies will respect and commit to protect and promote tangible and intangible natural Heritage according to the regulations embedded in the national legislation concerning Natural Heritage.
- In case that the LLL project intends to use tangible or intangible cultural heritage of project-affected parties for commercial purposes, the project will inform the project-affected parties of:
  - (a) their rights under national law;
  - (b) the scope and nature of the commercial development and the potential impacts;
  - (c) the potential consequences of such development and impacts
- In case of disturbance of culturally significant areas (ceremonial ground, sacred area, cemetery, etc.), the project will involve the relevant cultural specialist at community level (shaman, customary leaders) in order to support the relevant ritual compensation and will cover the financial expenses required to conduct the ritual according to the customary law.
- A chance find is any unanticipated discovery or recognition of tangible and intangible cultural heritage. Most often, chance finds occur during the construction phase of a project. Such finds include, for example, the discovery of a single artifact, an artifact indicating the presence of a buried archaeological site, human remains, fossilized plant or animal remains or animal tracks, or a natural object or soil feature that appears to indicate the presence of archaeological material. In case of find survey, the project will stop the construction work and immediately district information and Culture Office.

Removal:

- Any removal within the country or export of movable assets constituting a national heritage shall require the approval of the Ministry of Information and Culture.

Maintenance:

- Any maintenance, repair or modification to the features of a national heritage, whether immovable, movable or natural, shall require approval from the Ministry of Information and Culture.

#### Prohibition of Destruction to National Heritage:

- Persons or entities are forbidden to damage artifacts, artistic construction sites, whether immovable, movable or natural, constituting the national heritage, whether by committing a willful offence or out of negligence.
- No construction premise may be established within archeological or natural sites of national heritage value, except when authorized by the Ministry of Information and Culture.
- The use, maintenance or modification of immovable, movable assets or natural sites of national heritage value under the ownership of persons or entities and listed as national heritage shall require approval from and compliance with the regulations outlined by the Ministry of Information and Culture.

#### Transactions of Artefacts of National Heritage Value:

- Persons or entities are forbidden to sell, purchase or transfer artifacts of national heritage value, except when specifically authorized by the Ministry of Information and Culture.
- Persons or entities desiring to sell or transfer owned artifacts reserved, as national heritage shall apply to the Ministry of Information and Culture. Such application shall be submitted to the Ministry of Information and Culture one month before the actual sale or transfer of ownership. After the sale or transfer, the Ministry of Information and Culture shall be notified within three months from the sale or transfer.
- Where such artifacts are considered as holding important cultural significance, the State shall have the pre-emptive right to purchase them at an appropriate price.
- The sale and purchase of ancient artifacts not listed, as national heritage shall abide by the regulations specifically outlined by the Ministry of Information and Culture.

#### Discovery of Artefacts:

- Persons or entities discovering artifacts, archeological sites, ancient historical sites of high historical, artistic and cultural, and archeological value shall notify the relevant administrative authorities, District Information and Culture Office, or Province, Municipality and Special Zone Information and Culture Services, or the Ministry of Information and Culture Services, or the Ministry of Information and Culture within three days from such discovery.
- Any activities/interactions related to traditional knowledge associated with the conservation and sustainable use of biological diversity, occurring on or likely to impact on sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities and impacting upon specific groups, should be carried out with the prior informed consent and/or approval and involvement of indigenous and local communities. Such consent or approval should not be coerced, forced or manipulated

#### Excavation:

- Persons or entities are forbidden to exploit for artifacts or objects of historical, artistic, scientific, technical or archeological value, whether within the land under their own or other possession, without approval from the Ministry of Information and Culture.

#### Application for Artefacts Excavation:

- Persons or entities desiring to excavate or search for artifacts shall apply to the Ministry of Information and Culture and their application shall clearly indicate the site, importance and timeframe of excavation.

- Where such excavation would take place within a land area under the possession of other persons, a certificate of consent from the relevant landowner shall be attached to the application.
- The excavation of artifacts may take place only for the purpose of conducting scientific, historical research or for the conservation and preservation of such artifacts.
- Excavation activities shall unfold in compliance with the conditions and measures outlined by the Ministry of Information and Culture. The licensee shall perform such excavation by himself and assume all responsibilities for such excavation.
- During the conduct of excavation activities, the licensee shall report to the Ministry of Information and Culture on a permanent basis. At their discovery, important artifacts or archeological sites shall be preserved and reported in full to the Ministry of Information and Culture at once for their examination, consideration and purchase.
- At the completion of excavation activities, a full report of the results attached with other documents, such as: drawings, pictures and records, shall be made.

#### Ownership of discoveries:

- All immovable or movable assets discovered during any search are the ownership of the State.
- Landowners may not own discovered objects, but will be appropriately compensated by the State.

To avoid and manage potential adverse risks and impacts on cultural heritage (both tangible and intangible) from project activities and external visitors to the local communities and landscape areas, succinct information on both physical resources and intangible cultural heritage, regulations and measures will be disseminated to external visitors (project personnel, staff, contracted workers, consultants and tourists) in the form of user-friendly IEC materials (leaflet or posters) prior to their visit to the local communities. An additional specific list of Dos and Don'ts will be prepared in consultation with local authority (District LFND office and village or ethnic leaders) for distribution to the external visitors as necessary.

## **Annex 18: COVID-19 Response Technical Note**

This Note relates to Sub-chapter 5.15 and offers guidance to MAF and cooperating partners to avoid/ minimize risks due to CORONA-19 (e.g. in context of consultations, events, meetings, engagement with communities). Careful regard needs to be given to COVID-19 developments in Lao PDR and requirements by the GoL, as well as updated guidance issued by WHO. All measures implemented to address COVID-19 related risks need to be in accordance with the local applicable laws and policies, especially those related to media and communication. The following **general response measures** will be applied:

- Periodically review COVID-19 spread situation in the project area, and the restrictions put in place by the GoL to contain virus spread;
- Review planned activities under the project, assess COVID-19 related risks such as transmission/ spreading of the virus (e.g. number of people in meetings, engagement/ consultation events etc.);
- Identify project activities for which meetings/ consultation/ engagement is critical and cannot be postponed without having significant impact on project timelines.
- Assess the level of ICT penetration within the MAF/ PCUs at all levels, and among key stakeholder groups, to identify requirements to procure necessary ICT for PCU and the type of communication that can be effectively used in the project context with stakeholders.
- Consider and implement viable means to ensure that project related results can be achieved, at the same time minimizing risks by applying appropriate hygienic measures and/ or communicating via ICT.
- Ensure that all PCU members are aware of, as well as articulate and express their understandings on social behavior (social distancing) and respiratory hygiene practices, and that any events be preceded with the procedure of articulating such hygienic practices.
- Ensure the adequate availability of protective equipment/ gear and consumables, such as masks, hand sanitizer, soap;
- Raise awareness at all levels, including communities on COVID-19 health risks, as well as appropriate measures to limit transmission/ infections and enforce them in the project context. Use awareness materials developed by WHO or other organizations to be distributed during events and during visits in communities (examples provided below);
- Avoid larger public gatherings including public hearings, workshops and community meetings as much as possible in case of risks of COVID-19 transmission/ infections (depending on COVID-19 situation and measures imposed by GoL);
- If smaller meetings are permitted, conduct consultations in small-group sessions, such as focus group meetings. If not permitted, make all reasonable efforts to conduct meetings through online channels, including webex, zoom and skype;
- Diversify means of communication and rely more on social media and online channels. Where possible and appropriate, create dedicated online platforms and chatgroups appropriate for the purpose, based on the type and category of stakeholders;
- Where direct engagement with project affected people or beneficiaries is necessary, such as would be the case for Resettlement Action Plans or Indigenous Peoples Plans preparation and implementation, identify channels for direct communication with each affected household via a context specific combination of dedicated phone lines, WhatsApp and meetings with limited number of persons.

The following **hygienic/ precautionary COVID-19 response measures** will be applied to avoid/ minimize virus transmission and getting infected to be applied/ enforced by the project:

- Keep distance of at least 1 m between persons (social distancing);
- Cough, sneeze in crook of elbow, or sneeze, cough in tissue and immediately through tissue away, avoid spitting;
- Regularly wash hands with soap and water or use alcohol-based hand rub – many times per day;
- Self-isolate if somebody think that she/ he may have come in contact with the virus;
- Self-isolate if somebody display any symptoms, seek medical advice and support (e.g. testing);
- Clean keyboards, door handles and other used items regularly with a supply of clean water, liquid soap and paper towels (for hand drying);
- Clean/ disinfect toilets regularly, and wash towels frequently;
- Dispose used materials for cleaning in waste bins (for used paper towels) that is regularly emptied.



Cover nose and mouth when coughing, sneezing with tissue or mask.

If no tissues are available, cough or sneeze into the inner elbow rather than hand.

Do not “spit” in environment (use tissue instead).

Dispose used tissue and/or masks in the nearest bin after use.



Avoid shaking hands when sick. Use «traditional greeting» instead.

Perform hand hygiene after contact with respiratory secretions.



Figure 6: COVID-19 Hygienic Measures



## 1a – Hand Washing with Soap and Water



Figure 7: Hand Washing with Soap and Water

## 1b - Hand Hygiene with Alcohol-based Hand Rub (AHR)



Figure 8: Hand Hygiene with Alcohol-based Hand Rub

## ປົກປ້ອງຕົວທ່ານ ແລະ ຄົນທີ່ທ່ານຮັກ ຈາກພະຍາດ ໂຄວິດ-19 (COVID-19)

ໝັ້ນລ້າງມືຂອງທ່ານ  
ດ້ວຍສະບູ ແລະ ນ້ຳສະອາດ



ປົກປິດ ປາກ-ດັງ ທຸກຄັ້ງ  
ໃນເວລາ ໄອ ຈາມ



ຫຼີກລ່ຽງການຕິດຕໍ່ໃກ້ຊິດ  
ກັບຜູ້ທີ່ມີອາການເປັນຫວັດ  
ຫຼື ເປັນໂຂ້ຫວັດ



ຖ້າທ່ານມີໂຂ້, ໄອ ແລະ  
ຫາຍໃຈຍາກ,  
ໂທສາຍດ່ວນ 166 ໂດຍບໍ່ເສຍຄ່າ  
ເພື່ອຂໍຄຳແນະນຳ



   
for every child

## ພະຍາດປອດອັກເສບຈາກ ເຊື້ອຈຸລະໂລກສາຍພັນໃໝ່ COVID-19

**ອາການ:**  
ໂຂ້, ຂັ້ນງາຍ້ອຍ, ໄອ ແລະ ເຈັບຄໍ. ບາງຄັ້ງຖ້າອາການ  
ໝັ້ນຂຶ້ນອາດເຮັດໃຫ້ຫາຍໃຈຍາກ ຫຼື ເກີດພະຍາດ  
ອັກເສບປອດ. ອາການຈະສະແດງພາຍໃນ 14 ວັນ  
ພາຍຫຼັງຈາກທີ່ໄດ້ສຳຜັດກັບເຊື້ອພະຍາດ.



**ການປ້ອງກັນຕົນເອງ:**

- ໝັ້ນລ້າງມືດ້ວຍສະບູ ແລະ ນ້ຳ ຫຼື ໃຊ້ເຈ້ວລ້າງມື  
ທີ່ມີສ່ວນປະສົມຂອງເຫຼົ້າ
- ຫຼີກລ່ຽງການສຳຜັດຕາ, ດັງ ແລະ ປາກ ຖ້າບໍ່ໄດ້ລ້າງມື
- ຫຼີກລ່ຽງການສຳຜັດໃກ້ຊິດກັບຄົນທີ່ມີອາການ ໂຂ້ ແລະ ໄອ

ເມື່ອເວລາໄອ ຫຼື ຈາມ ຕ້ອງປິດປາກ ແລະ ດັງ  
ດ້ວຍຂໍສອກ ຫຼື ໃຊ້ເຈ້ຍອະນາໄມ



ຖິ້ມເຈ້ຍອະນາໄມທີ່ໃຊ້ແລ້ວ  
ໃສ່ ຖັງຂີ້ເຫຍື້ອທີ່ມີຝາປິດ



ຖ້າທ່ານສົງໄສມີອາການທີ່ກ່າວມາຂ້າງເທິງ  
ກະລຸນາຕິດຕໍ່ທີ່ເບີ +856 20 5406 6777  
(ພະນັກງານປະຈຳການ ທັງພາສາອັງກິດ ແລະ ລາວ)



ສາຍສາມາດສອບຖາມ  
ສູນເສີມເສີມໂຕທາງສາຍດ່ວນ  
166 ໂດຍບໍ່ເສຍຄ່າ 24 ຊົ່ວໂມງ

**ໂທສາຍດ່ວນ  
166**





Figure 9: Examples of CORONA-19 Awareness Materials

## **Annex 19: Gender-Based Violence and Violence Against Children**

This framework relates to Sub-chapter 5.15 and addresses Gender-Based Violence (GBV) and Violence Against Children (VAC) is consistent with the provisions of the PM Decree 70 on Dissemination of Women Development and Protection Law, 2004, the Law on gender equality, NA., the PM Decree on abolition of violence against women and children and the Agreement on Law on abolition of violence against women and children, NA/15, 2014 and Law on the Protection of the Rights and Interests of Children, 2007 (No. 05/NA) (Promulgated under Decree No. 04/PO of 16 January 2007).

Despite a strong legal framework stating and promoting the equality of Lao women and men, the influence of gender norms and traditional roles is still seen as one of the major obstacles in achieving factual gender equality in Laos. This becomes most visible in decision-making positions throughout all sectors, as well as at the community level where women continue to struggle to participate on equal terms and in equal numbers.

Gender equality is additionally influenced by ethnic background in Laos. Many traditional norms within Lao-Tai cultures are favorable with regard to gender equality: women are often financial decision-makers, inherit land and property more often, and have gained equal access to education. The other three ethno-linguistic groups mostly have stronger patriarchal traditions and norms, limiting women's access to decision-making, property and education. Violence against women is, however, a reality for women from all ethnic backgrounds in Laos.

### **LLL project commitment toward women protection and development**

The LLL Project is committed to promote women's safety, to identify and address risks to women and to support stakeholders in designing and implementing measures to ensure equal treatment of women and men from the grassroots to the central level.

- This will be achieved applying gender inclusive interventions such as closing gaps between men and women in how they access and benefit from development opportunities and ensuring safe and fair working and living conditions, promoting good governance through gender diversity at all level and addressing GBV to prevent harm to women and eliminate barriers that prevent women from achieving their full potential. T
- The project will also support and promote the advancement of women and the implementation of policy on gender equality and will raise the role of women in both government and social positions. The project will also commit to meet the NCAW target of women representative in leadership and decision-making position at central, provincial, district and community level,
- Each district level technical team will be composed of at least one woman in order to engage with women at community level
- Village Development Committee will also include at least one woman
- Women will be entitled of their share of the Village Development Fund according to NA\CAW national target.
- The project will empower the LWU and NCAWW in promoting and leading awareness raising on women development and empowerment through capacity building, and also in implementation, monitoring and evaluation.

### **Gender-Based Violence**

- Addressing gender equality and gender-based violence (GBV) is not only a social and moral imperative, but also an economic need. Women have a crucial role in achieving sound economic growth and poverty reduction and are an essential part of private sector development. However, women can't contribute to economic growth and poverty reduction if they're subjected to gender violence.

## **The project will strictly forbid sexual harassment**

(1) Sexual harassment is unwanted conduct of a sexual nature. The unwanted nature of sexual harassment distinguishes it from behavior that is welcome and mutual.

(2) Sexual attention becomes sexual harassment if:

- (a) The behavior is persisted in, although a single incident of harassment can constitute sexual harassment; and/or
- (b) The recipient has made it clear that the behavior is considered offensive; and/or
- (c) The perpetrator should have known that the behavior is regarded as unacceptable.

## **Forms of sexual harassment**

(1) Sexual harassment may include unwelcome physical, verbal or non-verbal conduct, but is not limited to the examples listed as follows:

- (a) Physical conduct of a sexual nature includes all unwanted physical contact, ranging from touching to sexual assault and rape, and includes a strip search by or in the presence of the opposite sex.
- (b) Verbal forms of sexual harassment include unwelcome innuendoes, suggestions and hints, sexual advances, comments with sexual overtones, sex-related jokes or insults or unwelcome graphic comments about a person's body made in their presence or directed toward them, unwelcome and inappropriate enquiries about a person's sex life, and unwelcome whistling directed at a person or group of persons.
- (c) Non-verbal forms of sexual harassment include unwelcome gestures, indecent exposure, and the unwelcome display of sexually explicit pictures and objects.
- (d) Quid pro quo harassment occurs where an owner, employer, supervisor, member of management or co-employee, undertakes or attempts to influence the process of employment, promotion, training, discipline, dismissal, salary increment or other benefit of an employee or job applicant, in exchange for sexual favors.

(2) Sexual favoritism exists where a person who is in a position of authority rewards only those who respond to his/her sexual advances, whilst other deserving employees who do not submit themselves to any sexual advances are denied promotions, merit rating or salary increases.

## **Guiding principles**

The LLL project will commit to create and maintain a working environment in which the dignity of employees is respected and victims of sexual harassment will not feel that their grievances are ignored or trivialized, or fear reprisals. Implementing the following guidelines can assist in achieving these ends:

- (a) Employers/management and employees are required to refrain from committing acts of sexual harassment.
- (b) All stakeholders have a role to play in contributing towards creating and maintaining working environment in which sexual harassment is unacceptable. They should ensure that their standards of conduct do not cause offence and they should discourage unacceptable behavior on the part of others.
- (c) The Project should attempt to ensure that all persons involved from central to grassroots level, are not subjected to sexual harassment.
- (d) The Project is required to take appropriate action when instances of sexual harassment which occur within the workplace are brought to their attention.

## **Statements**

1. All employees, stakeholders and other persons who are involved with the LLL Project, have the right to be treated with dignity.

2. Sexual harassment in the workplace will not be permitted or condoned.
3. Persons who have been subjected to sexual harassment in the workplace have a right to raise a grievance about it should it occur and appropriate action will be taken by the Project.
4. Allegations of sexual harassment will be dealt with seriously, expeditiously, sensitively and confidentially.
5. Employees will be protected against victimization, retaliation for lodging grievances and from false accusations.

## **Procedures**

- **Advice and Assistance:** Sexual harassment is a sensitive issue and a victim may feel unable to approach the perpetrator, lodge a formal grievance or turn to colleagues for support. Preventing sexual harassment is everyone's responsibility. Any employee who has been subjected to behavior that may constitute sexual harassment is encouraged to report such behavior. Anyone who witnesses or becomes aware of potential instances of sexual harassment should report such behavior. In case of sexual harassment, the victim should directly report to the LWU or Sub-Caw representative at community district, provincial or central level.
- **Options to resolve a problem:** There are two options to resolve a problem relating to sexual harassment: an attempt can be made to resolve the problem in an informal way or a formal procedure can be embarked upon based on lao regulatory context.
- **All complaints or information about sexual harassment, workplace harassment or discrimination will be investigated.** Investigations will be conducted in a timely manner and will be confidential to the extent possible.

## **Violence Against Children (VAC)**

The obligation for all States to work toward the elimination of violence against children is recognized, first and foremost, by the United Nations Convention on the Rights of the Child, ratified by Lao PDR in 1991. It is also a global priority of the Sustainable Development Goals (SDGs), in particular SDG 16 on ending abuse, exploitation, trafficking and all forms of violence against children. Efforts to prevent violence, therefore, form an integral part of the government's international commitments to uphold the right of each child to his or her human dignity and physical integrity.

This commitment is strongly reflected at the national level in the 8th National Socio-economic Development Plan (2016-2020), the Law on Preventing and Combatting Violence against Women and Violence against Children (2015), the National Plan of Action on the Prevention and Elimination of Violence against Women and Violence against Children 2014-2020, and a number of other key child protection laws and policies.

Violence against children is everywhere: it affects children at all stages as they develop from infancy through their early years and adolescence; and takes place in all settings where childhood unfolds.

Violence against children – “encompassing physical or mental violence, injury and abuse, neglect or negligent treatment, and maltreatment or exploitation, including sexual abuse”– is prevalent in all societies. Violence against children can have profound and damaging consequences in childhood, adolescence and throughout adulthood. Lifelong adverse health, social, and economic consequences exist for those affected by violence, including mental and physical health conditions; increased health and other risk behaviors; exposure to further violence; disability from physical injury; reduced health-related quality of life; lower educational attainment; and lower levels of adult economic well-being.

All types of violence against children attribute directly to mental disorders among individuals, with emotional abuse and sexual abuse having a greater impact. Emotional abuse often leads to self-harm, suicide ideation and suicide attempts, smoking initiation is attributable to experiences of child physical abuse while drinking and illicit drug use are attributable to all types of violence against children.

### **Children protection**

The project will have zero tolerance policy towards child abuse, child exploitation and/or violence against children.

- Awareness: the project will ensure that all personnel and others are aware of the problem of child abuse and the risks to children.
- Prevention: the project will ensure, through awareness and personal and professional conduct, that personnel and others minimize the risk to children.
- Reporting: the project will ensure that personnel and others are clear what steps to take where concerns arise regarding the safety of children.
- Responding: the project will ensure that action is taken to support and protect children where concerns arise regarding possible abuse.
- All project staff, National Consultants, workers, etc. will be made aware of the relevant laws and regulations on women and child protection. The project will address VAC by disseminating relevant national laws and regulations that protect children against violence in particular the Law on Preventing and Combatting Violence against Women and Violence against Children, the Law on Juvenile Justice, and the Law on the Protection of the Rights and Interests of Children.
- According to the article 26 of the Law on Development and Protection of women, individuals or stakeholders that discover victims of trafficking in women and children or receive data or information concerning such trafficking shall report to the village administration, the police or other concerned authorities, and shall, at the same time, give assistance to victims.
- According to the article 38 of the Law on the Protection of Rights and Interests of Children any person or organization that knows of or observes any situation regarding any child at risk of needing special protection or any child in need of special protection, must promptly notify or report on that situation to the Committee on Protection and Assistance to Children or to an investigation agency if it is a criminal offence.

### **Code of Conduct to eliminate Gender-Based Violence and Sexual Exploitation and Abuse**

This CoC intends eliminate the risks of Gender-Based Violence (GBV) and Sexual Exploitation and Abuse (SEA) by (1) promote and protect the best interests of women at all times, and (2) zero tolerance of GBV and SEA and mandatory reporting. The Code of Conduct applies to all Project personnel, including staff, security personal (the Lao Army), contractors, their workers consultants and external visitors as well as tourists who interact with children or young people in both a direct and/or unsupervised capacity during duty missions to the priority landscapes and villages.

- Treat women, children (persons under the age of 18), and men with respect regardless of race, colour, language, religion, political or other opinion, national, ethnic or social origin, property, disability, birth or other status.
- Not use language or behaviour towards women, children or men that is inappropriate, harassing, abusive, sexually provocative, demeaning or culturally inappropriate.
- Not participate in sexual activity with children including grooming or through digital media. Mistaken belief regarding the age of a child and consent from the child is not a defense.

- Not engage in sexual favours or other forms of humiliating, degrading or exploitative behaviour.
- Not have sexual interactions with members of the communities surrounding the workplace that are not agreed to with full consent by all parties involved in the sexual act. This includes relationships involving the withholding or promise of actual provision of benefit (monetary or non-monetary) to community members in exchange for sex, such sexual activity is considered “non-consensual” within the scope of this Code.
- Report through the GRM or to my manager suspected or actual GBV and/or CAE by a fellow worker, whether in my company or not, or any breaches of this code of conduct.
- Wherever possible, ensure that another adult is present when working in the proximity of children.
- Not invite unaccompanied children into my home, unless they are at immediate risk of injury or in physical danger.
- Not sleep close to unsupervised children unless absolutely necessary, in which case I must obtain my supervisor’s permission, and ensure that another adult is present if possible.
- Use any computers, mobile phones, or video and digital cameras appropriately, and never to exploit or harass children or to access child pornography through any medium
- Refrain from physical punishment or discipline of children.
- Refrain from hiring children for domestic or other labour, which is inappropriate given their age or developmental stage, which interferes with their time available for education and recreational activities, or which places them at significant risk of injury.
- Comply with all relevant local legislation, including labour laws in relation to child labor.
- When photographing or filming a child for work related purposes, I must:
  - Before photographing or filming a child, assess and endeavour to comply with local traditions or restrictions for reproducing personal images.
  - Before photographing or filming a child, obtain informed consent from the child and a parent or guardian of the child. As part of this I must explain how the photograph or film will be used.
  - Ensure photographs, films, videos and DVDs present children in a dignified and respectful manner and not in a vulnerable or submissive manner. Children should be adequately clothed and not in poses that could be seen as sexually suggestive.
  - Ensure images are honest representations of the context and the facts.
  - Ensure file labels do not reveal identifying information about a child when sending images electronically.

I understand that it is my responsibility to use common sense and avoid actions or behaviours that could be construed as GBV or CAE or breach this code of conduct. I do hereby acknowledge that I have read the foregoing Code of Conduct, do agree to comply with the standards contained therein and understand my roles and responsibilities to prevent and respond to GBV and CAE. I understand that any action inconsistent with this Code of Conduct or failure to take action mandated by this Code of Conduct may result in disciplinary action and may affect my ongoing employment.

Signed by



Title:

Date:

### **Child Protection Code of Conduct**

This CoC intends minimize the risk of child abuse by providing practical guidance to prevent child abuse occurring. The key principles include (1) promote and protect the best interests of children at all times, and (2) zero tolerance of child abuse mandatory reporting of confirmed or suspected child abuse. The Code of Conduct applies to all Project personnel, including staff, security personal (the Lao Army), contractors and their workers, consultants and external visitors as well as tourists who interact with children or young people in both a direct and/or unsupervised capacity during duty missions to the priority landscapes and villages.

#### **Do's:**

- Treat everyone with respect, patience, integrity, courtesy, dignity, and consideration.
- Never be alone with children and/or youth during activities/ visits to villages and schools without another adult being notified.
- Use positive reinforcement rather than criticism, competition, or comparison when working with children and/or youth.
- Always maintain appropriate physical boundaries and touch children –when necessary– only in ways that are appropriate, public, and non-sexual.
- Promote the safety, participation and empowerment of students with a disability.
- Promote the cultural safety, participation and empowerment of linguistically and culturally diverse students
- Encourage students to 'have a say' and then listen to them with respect.
- Respect cultural, religious and political differences.
- Help provide an open, safe and supportive environment for all students to interact and socialise.
- Respect the privacy of students and their families and only disclose information to people who have a need to know.
- Cooperate fully in any investigation of abuse of children and/or youth.

#### **Don'ts:**

- Engage in any form of inappropriate behaviour towards children/ youth or expose students to such behaviour.
- Touch or speak to a child and/or youth in a sexual or other inappropriate manner.
- Inflict any physical or emotional abuse such as striking, spanking, shaking, slapping, humiliating, ridiculing, threatening, or degrading children and/or youth.
- Smoke or use tobacco products, or possess, or be under the influence of alcohol or illegal drugs at any time while working with children and/or youth.
- Give a child who is not your own a ride home alone.

- Accept gifts from or give gifts to children or youth without the knowledge of their parents or guardians.
- Engage in private communications with children via text messaging, email, Facebook, Twitter or similar forms of electronic or social media except for activities strictly involving school business.
- Post online any information about a student that may identify them such as their: full name; age; e-mail address; telephone number; residence; school; or details of a club or group they may attend.
- Use profanity in the presence of children and/or youth at any time.
- Express personal views on cultures, race or sexuality in the presence of students or discriminate against any student based on culture, race, ethnicity or disability.
- Engage in any form of physical violence towards a student including inappropriately rough physical play.

I understand that it is my responsibility to use common sense and avoid actions or behaviour that could be construed as GBV or CAE or breach this code of conduct. I do hereby acknowledge that I have read the foregoing Code of Conduct, do agree to comply with the standards contained therein and understand my roles and responsibilities to prevent and respond to GBV and CAE. I understand that any action inconsistent with this Code of Conduct or failure to take action mandated by this Code of Conduct may result in disciplinary action and may affect my ongoing employment.

Signed by

Title:

Date:

## Annex 20: Glossary

**Table 23: Technical Terms and Descriptions**

<b>Term</b>	<b>Description</b>
<b>Adaptation</b>	The process of adjustment to actual or expected climate and its effects. In human systems, adaptation seeks to moderate or avoid harm or exploit beneficial opportunities. In some natural systems, human intervention may facilitate adjustment to expected climate and its effects. PAD/ LLL, 2020
<b>Affected persons</b>	Affected persons are any person or entity or organization affected by a project, who in the context of acquisition of assets or change in land use before the project commencement date, would have their: (i) standard of living adversely affected; (ii) right, title or interest in all or any part of a house, land (including residential, commercial, agricultural, plantations, forest and grazing land), water resources or any other moveable or fixed assets acquired or possessed, in full or in part, permanently or temporarily adversely affected; (iii) business, occupation, place of work or residence areas adversely affected with or without displacement; or (iv) community resources adversely affected. GITEC/ Decree 192
<b>Agroforestry</b>	Land-use systems and practices in which trees are deliberately integrated with crops and/or animals on the same land management unit. PAD/ LLL, 2020
<b>Assisted natural regeneration</b>	ANR is a method for enhancing the establishment of secondary forest from degraded grassland and shrub vegetation by protecting and nurturing the mother trees and their wildlings inherently present in the area. ANR aims to accelerate, rather than replace, natural successional processes by removing or reducing barriers to natural forest regeneration such as soil degradation, competition with weedy species, and recurring disturbances (e.g., fire, grazing, and wood harvesting). PAD/ LLL, 2020
<b>Biodiversity</b>	Biodiversity is the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species, and of ecosystems. WB/ ESF, 2018
<b>Chance find</b>	A chance find is archaeological material encountered unexpectedly during project construction or operation. WB/ ESF, 2018
<b>Chance find procedure</b>	Chance find procedure is a project specific procedure which will be followed if previously unknown cultural heritage is encountered during project activities. It will set out how chance finds associated with the project will be managed. The procedure will include a requirement to notify relevant authorities of found objects or sites by cultural heritage experts; to fence off the area of finds or sites to avoid further disturbance; to conduct an assessment of found objects or sites by cultural heritage experts; to identify and implement actions consistent with the requirements of ESS 8 and national law; and to train project personnel and project workers on chance find procedures. WB/ ESF, 2018
<b>Collective attachment</b>	Collective attachment means that for generations there has been a physical presence in and economic ties to land and territories traditionally owned, or customarily used or occupied, by the group concerned, including areas that hold special significance for it, such as sacred sites. WB/ ESF, 2018
<b>Critical habitat</b>	Critical habitat is defined as area with high biodiversity importance or value, including: (a) habitat of significant importance to critically endangered or endangered species, as listed on the IUCN Red List of threatened species or equivalent national approaches; (b) habitat of significant importance to endemic or restricted-range species; (c) habitat supporting globally or nationally significant concentrations of migratory or congregatory species; (d) highly threatened or unique system; and (e) ecological functions or characteristics that are needed to maintain the viability of the biodiversity values described above in (a) to (d). WB/ ESF, 2018

<b>Term</b>	<b>Description</b>
<b>Cultural heritage</b>	Cultural heritage is defined as resources with which people identify as a reflection and expression of their constantly evolving values, beliefs, knowledge and traditions. WB/ ESF, 2018
<b>Cumulative impact</b>	The cumulative impact of the project is the incremental impact of the project when added to impacts from other relevant past, present, and reasonably foreseeable developments, as well as unplanned but predictable activities enabled by the project that may occur later or at a different location. Cumulative impacts can result from individually minor, but collectively significant activities taking place over a period of time. WB/ ESF, 2018
<b>Direct impact</b>	A direct impact is an impact which is caused by the project and occurs contemporaneously in the location of the project. WB/ ESF, 2018
<b>Environment</b>	Is the physical, biological and socio-cultural conditions within which a living organism or community exists, i.e., the sum of all external conditions that affect an organism or community and influence its development or existence. GITEC
<b>Environmental authority</b>	The authority responsible for environmental protection and management and inspection of impact assessment work. In Lao PDR this is the Water Resources and Environment Administration (WREA). GITEC
<b>Environmental assessment</b>	The process of study and prediction of positive and negative impacts on the environment (including the social environment) together with determination of appropriate measures to avoid, reduce, or mitigate adverse impacts. GITEC
<b>Environmental impact assessment</b>	An assessment, evaluation, and comparison of appropriate prevention and mitigation measures for the likely environmental impacts of a project, together with proposed compensation measures for losses resulting from the road project, and a proposed Environmental Management Plan (EMP). GITEC
<b>Environmental management plan</b>	Is a plan stipulated in an IEE or EIA which defines environmental protection and impact mitigation measures required during construction, operating stage, and project termination (post-operation). The EMP identifies responsibility and schedule for implementation along with costs. GITEC
<b>Environmental monitoring</b>	Is the monitoring and evaluation of (i) project impacts and performance against a set of pre-defined parameters or indicators measuring environmental and social characteristics; and (ii) compliance with a project's specific, and approved, Environmental Management Plan in accordance with the processes, defined environmental quality criteria, and timeframe defined in the plan. GITEC
<b>Environmental risks and impacts</b>	They include: (i) those defined by the EHSGs; (ii) those related to community safety (including dam safety and safe use of pesticides), (iii) those related to climate change and other trans-boundary or global risks and impacts, (iv) any material threat to the protection, conservation, maintenance and restoration of natural habitats and biodiversity; and (v) those related to ecosystem services and the use of living natural resources, such as fisheries and forests. WB/ ESF 2018
<b>Deforestation</b>	The act of cutting, clearing, burning, and killing trees by using chemical or other methods that cause damages to forests. PAD/ LLL, 2020
<b>Degraded forest</b>	The forest area that has been heavily damaged, such as land without forest or fallow forestland, which are designated for reforestation, permanent agroforestry or other land use purposes in accordance with the socio-economic development plan. PAD/ LLL, 2020
<b>Disadvantaged</b>	Disadvantaged or vulnerable refers to those who may be more likely to be adversely affected by the project impacts and/ or more limited than others in their ability to take advantage of a projects benefits. Such an individual/ group is also more likely to be excluded from/ unable to participate fully in the mainstream consultation process and as such may require specific measures

Term	Description
	and/ or assistance to do so. This will take into account considerations relating to age, including the elderly and minors, and including in circumstances where they may be separated from their family, the community or other individuals upon which they depend. WB/ ESF, 2018
<b>Economic displacement</b>	Economic displacement includes loss of land, assets or access to assets, including those that lead to loss of income sources or other means of livelihood. WB/ ESF, 2018
<b>Ecosystem services</b>	Ecosystem services are the benefits that people derive from ecosystems and are organized into four types: (i) provisioning services, which are the products people obtain from ecosystems and which may include food, freshwater, timber, fibres, medicinal plants; (ii) regulating services, which are the benefits people obtain from the regulation of ecosystem processes and which may include surface water purification, carbon storage and sequestration, climate regulation, protection from natural hazards; (iii) cultural services, which are the nonmaterial benefits people obtain from ecosystems and which may include natural areas that are sacred sites and areas of importance for recreations and aesthetic enjoyment; and (iv) supporting services, which are the natural processes that maintain the other services and which may include soil formation, nutrient cycling and primary production. WB/ ESF, 2018
<b>Forced labor</b>	Forced labor means all work or services, not voluntary performed, that is extracted from an individual under threat of force or penalty. LENS II
<b>Forest</b>	Lao forest definition, or “current forests,” includes a diameter breast height >10 cm, crown cover >20 percent, minimum area >0.5 ha, while canopy cover between 10 and 20 percent are defined as “potential forests.” PAD/ LLL, 2020
<b>Forestland</b>	Every land area, with or without forest cover that is determined by the State to be forestland under one of the three official forest categories. PAD/ LLL, 2020
<b>Forest landscape restoration</b>	Is an active process that brings people together to identify, negotiate and implement practices that restore an agreed optimal balance of the ecological, social and economic benefits of forests and trees within a broader pattern of land uses. PAD/ LLL, 2020
<b>Good agricultural practice</b>	Good Agricultural Practice (GAP) in the use of pesticides includes the officially recommended or nationally authorized uses of pesticides under actual conditions necessary for effective and reliable pest control. It encompasses a range of levels of pesticide applications up to the highest authorized use, applied in a manner which leaves a residue which is the smallest amount practicable (FAO).
<b>Harmful child labor</b>	Harmful child labor means the employment of children that is economically exploitive, or is likely to be hazardous to, or to interfere with the child’s education, or to be harmful to the child’s health, or physical, mental, spiritual, moral, or social development.
<b>Impacts</b>	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. PAD/ LLL, 2020
<b>Indigenous peoples</b>	The term ‘indigenous peoples’ is used in a generic sense to refer exclusively to a distinct social and cultural group possessing the following characteristics in varying degrees: (a) self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others; (b) collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation, as well as to the natural resources in these areas; (c) customary cultural, economic, social or political institutions that are distinct or separate from those of the mainstream society or culture; (d) a distinct language or dialect, often different from the official language of the country or region in which they reside. The terminology used for such groups varies from country to

Term	Description
	country and often reflects national considerations (e.g. 'indigenous ethnic minorities', 'aboriginals', 'hill tribes', 'vulnerable and marginalized groups', tribal groups'). WB/ ESF, 2018
<b>Indirect impact</b>	An indirect impact is an impact which is caused by the project and is later in time or farther removed in distance than a direct impact, but is still reasonably foreseeable, and will not include induced impacts. WB/ ESF, 2018
<b>Initial environmental examination</b>	Is the initial study to predict impact on the environment (including social components) from projects and development activities. The IEE and EMP are binding on development activities that are expected to have minor impact on the environment. GITEC
<b>Integrated pest management</b>	Integrated pest management refers to a mix of farmer-driven, ecologically-based pest control practices that seeks to reduce reliance on synthetic chemical pesticides. It involves (a) managing pests (keeping them below economically damaging levels) rather than seeking to eradicate them; (b) integrating multiple methods (relying to the extend possible, on nonchemical measures) to keep pest populations low; and (c) selecting and applying pesticides, when they have to be used, in a way that minimizes adverse effects on beneficial organisms, humans, and the environment. WB/ ESF, 2018
<b>Involuntary resettlement</b>	Project-related land acquisition or restrictions on land use may cause physical displacement (relocation, loss of residential land or loss of shelter), economic displacement (loss of land, assets or access to assets, including those that lead to loss of income sources or other means of livelihood), or both. The term 'involuntary resettlement' refers to these impacts. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement. WB/ ESF, 2018
<b>Land acquisition</b>	Land acquisition refers to all methods of obtaining land for project purposes, which may include outright purchase, expropriation of property and acquisition of access rights, such as easement or rights of way. Land acquisition may also include: (a) acquisition of unoccupied or utilized land whether or not the landholder relies upon such land for income or livelihood purposes; (b) repossession of public land that is used or occupied by individuals or households; and (c) project impacts that result in land being submerged or otherwise rendered unusable or inaccessible. 'Land' includes anything growing on or permanently affixed to land, such as crops, buildings and other improvements, and appurtenant water bodies. WB/ ESF, 2018
<b>Land acquisition and compensation report</b>	Is the documentation required for projects or sub-projects creating marginal or non-significant resettlement impacts, i.e., fewer than 200 persons (about 40-50 families) are affected by the project either marginally or with limited displacement. GITEC/ Decree 192
<b>Landscape</b>	A mosaic of natural and/or human-modified ecosystems, with a characteristic configuration of topography, vegetation, land use and settlements that is influenced by the ecological, historical, economic and cultural processes and activities of the area. Both the mix of land cover and use types that make up the larger mosaic, including forests, agricultural lands, native vegetation and urban areas (landscape composition), and the spatial arrangement of different land uses and cover types (landscape structure) contribute to the character of a landscape. Depending on the management objectives of the stakeholders, landscape boundaries may be discrete or fuzzy, and may correspond to watershed boundaries, distinct land features and/or jurisdictional boundaries, or may cross-cut such demarcations. Because of the broad range of factors, a landscape may encompass an area of 100 to 10,000 km <sup>2</sup> . PAD/ LLL, 2020
<b>National park</b>	Large natural or near natural areas set aside to protect large-scale ecological processes, along with the complement of species and ecosystems characteristic

Term	Description
	of the area, which also provide a foundation for environmentally and culturally compatible spiritual, scientific, educational, recreational and visitor opportunities. In the Decree on Protected Areas No. 134, a National Park is a protected area that has particular characteristics with a variety of ecosystems that are outstanding, with values for science, research, tourism, environmental conservation, and culture. PAD/ LLL, 2020
<b>Migrant workers</b>	Migrant workers are workers who have migrated from one country to another country or from one part of the country to another for purpose of employment. WB/ ESF, 2018
<b>Modified habitats</b>	Modified habitats are areas that may contain a large proportion of plant and/ or animal species of non-native origin, and/ or where human activity has substantially modified an area's primary ecological functions and species composition. Modified habitats may include, for example areas managed for agriculture, forest plantations, reclaimed coastal zones, and reclaimed wetlands. WB/ ESF, 2018
<b>Nature-based tourism</b>	A broad term that covers all environmentally sustainable tourism experiences centered on wild or natural environments. Also known as nature tourism. Sometimes used inter-changeably with ecotourism, which is actually a subset of nature-based tourism. PAD/ LLL, 2020
<b>Natural habitats</b>	Natural habitats are areas composed of viable assemblages of plant and/ or animal species of largely native origin, and/ or where human activity has not essentially modified an area's primary ecological functions and species composition. WB/ ESF, 2018
<b>National protected area</b>	Large natural or near natural areas which conserve ecosystems and habitats, together with associated cultural values and traditional natural resource management systems. They are generally large, and most of the area is in a natural condition, where a proportion is under sustainable natural resource management and where low-level non-industrial use of natural resource compatible with nature conservation is seen as one of the main aims of the area. PAD/ LLL, 2020
<b>Non-timber forest products</b>	All kinds of plants growing naturally or through propagation including trunks, stems, vines, tubers, roots, buds, shoots, leaves, flowers, fruits, grains or seeds, bark, oil, resin, mushrooms, honey and medicinal plants and so on. PAD/ LLL, 2020
<b>Participatory sustainable forest management</b>	Lao-specific approach to SFM, introduced in 2004 by the SUFORD project. The approach detailed roles and responsibilities of all stakeholders at all administrative levels and laid out a clear percentage-based breakdown for the sharing of net revenues from timber sales. Harvesting quotas for PFA would be set at central level, based on PFA Management Plans. Provincial, district and villages participate in the logging operations and share benefits based on management plans and pre-set percentages and quotas. PAD/ LLL, 2020
<b>Pest</b>	Pest means any species, strain or bio-type of plant, animal or pathogenic agent injurious to plants and plant products, materials or environments and includes vectors of parasites or pathogens og human and animal disease and animals causing public health nuisance (FAO).
<b>Pesticide</b>	Pesticide means any substance, or mixtures of substances of cheical or biological ingredients intended for repelling, destroying or controlling any pest, or regulating plant growth (FAO).
<b>Physical displacement</b>	Physical displacement includes relocation, loss of residential land or loss of shelter. WB/ ESF, 2018
<b>Pollution</b>	Pollution refers to both hazardous and non-hazardous chemical pollutants in the solid, liquid, or gaseous phases, and includes other components such as

Term	Description
	thermal discharge to water, emissions of short- and long-lived climate pollutants, nuisance odors, noise, vibration, radiation, electromagnetic energy, and the creation of potential visual impacts including light. WB/ ESF, 2018
<b>Project cycle</b>	The complete and overall process, or the life, of a project, which includes identification, pre-feasibility study, feasibility study, design, construction, operation, monitoring, and closure. GITEC
<b>Production forest area</b>	Natural forests and planted forests classified for the utilization purposes for the supply of wood and forest products in the socio-economic development and livelihoods of the people. Production Forest Areas (PFAs) are managed primarily for production of wood, fiber, fuel and non-timber forest products (NTFPs) in 51 national PFAs (105 FMAs in 17 provinces) that total over 3.1 million ha, of which 2.2 million ha are forested. PAD/ LLL, 2020
<b>Project worker</b>	Project worker refers to: (a) people employed or engaged directly by the Borrower (including the project proponent and the project implementing agencies) to work specifically in relation to the project (direct workers); (b) people employed or engaged through third parties to perform work related to core functions of the project, regardless of the location (contracted workers); (c) people employed or engaged by the Borrower's primary suppliers (primary supply workers); and (d) people employed or engaged in providing community labor (community workers). This includes full-time, part-time, temporary, seasonal and migrant workers. WB/ ESF, 2018
<b>Protection forest area</b>	One of the three official forest categories Protection Forest Areas (PtFA) are managed primarily for soil, water and natural disaster protection, such as for strategic reservoirs, and a total 8 million ha of national, provincial and district PtFAs, of which 4.8 million ha are forested. None have been formally delineated. PAD/ LLL, 2020
<b>Resilience</b>	The capacity of social, economic and environmental systems to cope with a hazardous event or trend or disturbance; responding or reorganizing in ways that maintain their essential function, identity and structure, while also maintaining the capacity for adaptation, learning and transformation (IPCC, 2014). PAD/ LLL, 2020
<b>Restrictions on land use</b>	Restrictions on land use refers to limitations or prohibitions on the use of agricultural, residential, commercial or other land that are directly introduced and put into effect as part of the project. These may include restrictions on access to legally designated parks and protected areas, restrictions on access to other common property resources, restrictions on land use within utility easements or safety zones. WB/ ESF, 2018
<b>Safeguards</b>	Are policies of international donors such as World Bank and Asian Development Bank to prevent and mitigate undue harm to people and their environment in the development process. The policies provide guidelines for donor and Borrower staff in the identification, preparation, and implementation of programs and projects. Safeguard policies provide a platform for the participation of stakeholders in project design, and are an important instrument for building local ownership GITEC
<b>Scoping</b>	The process of determination of impacts that require study, investigation, and/or collection of necessary data to report the environmental and social impacts and type of assessment required, which WREA will review and approve as the project's framework. GITEC
<b>Screening</b>	Is the categorization of a proposed project according to what types of impacts might be anticipated on the environment (including social impacts), based on project type, scale, location, and sensitivity, thereby determining what level of environmental assessment is required. The World Bank identifies four categories of project impact. GITEC



Term	Description
<b>Strategic environmental and social assessment</b>	Strategic Environmental and Social Assessment is a systematic examination of environmental and social risks and impacts, and issues, associated with a policy, plan or program, typically at the national level but also in smaller areas. The examination of environmental and social risks and impacts will include consideration of the full range of environmental and social risks and impacts incorporated in ESS1 through 10. SESA are typically not location specific. They are therefore prepared in conjunction with project and site-specific studies that assess the risks and impacts of the project (WB/ ESF, 2018).
<b>Social risks and impacts</b>	Include: (i) threats to human security through the escalation of personal, comunal or inter-state conflict, crime or violence; (ii) risks that project impacts fall disproportionately on individuals and groups who, because of their particular circumstances, may be disadvantaged or vulnerable, (iii) any prejudice or discrimination towards individuals or groups in providing access to development resources and project benefits, particularly in case of those who may be disadvantaged or vulnerable; (iv) negative economic and social impacts relating to the involuntary taking of land or restrictions on land use; (v) risks or impacts associated with land and natural resource tenure and use, including potential project impacts on local land use patterns and tenurial arrangements, land access and availability, food security and land values and any corresponding risks related to conflict or contestation over land and natural resources; (vi) impacts on the health, safety and well-being of workers and project-affected communities; and (vii) risks to cultural heritage. WB/ ESF, 2018
<b>Sustainable forest management</b>	The stewardship and use of forests and forest lands in a way, and at a rate, that maintains their biodiversity, productivity, regeneration capacity, vitality and their potential to fulfil, now and in the future, relevant ecological, economic and social functions, at local, national, and global levels, and that does not cause damage to other ecosystems. PAD/ LLL, 2020
<b>Village forest</b>	A village forest refers to all types of forestland located within a village boundary according to the Village Forest and Land Use and Management Plan. Village forest includes village-managed forests that have conservation, production, and/or protection objectives. Village forests exist within any of the three official forest categories or outside any officially designated forestland. PAD/ LLL, 2020
<b>Village forest management (VFM)</b>	VFM refers to the decentralized management of forest resources by villagers themselves. The 2019 Forestry Law is grants rights for VFM to engage in commercial activities for wood and non-wood forest products, and detailed regulations are being developed that provide a more operational definition of VFM. VFM involves participatory forest and land use planning, inventories, capacity development, restoration of forest and land, productive activities, harvest and processing of allowed wood, non-wood, and agricultural products, monitoring of the resource, and control of forest fires and other disaster risks. PAD/ LLL, 2020
<b>Vulnerable</b>	Vulnerable or disadvantaged refers to those who may be more likely to be adversely affected by the project impacts and/ or more limited than others in their ability to take advantage of a projects benefits. Such an individual/ group is also more likely to be excluded from/ unable to participate fully in the mainstream consultation process and as such may require specific measures and/ or assistance to do so. This will take into account considerations relating to age, including the elderly and minors, and including in circumstances where they may be separated from their family, the community or other individuals upon which they depend. WB/ ESF, 2018

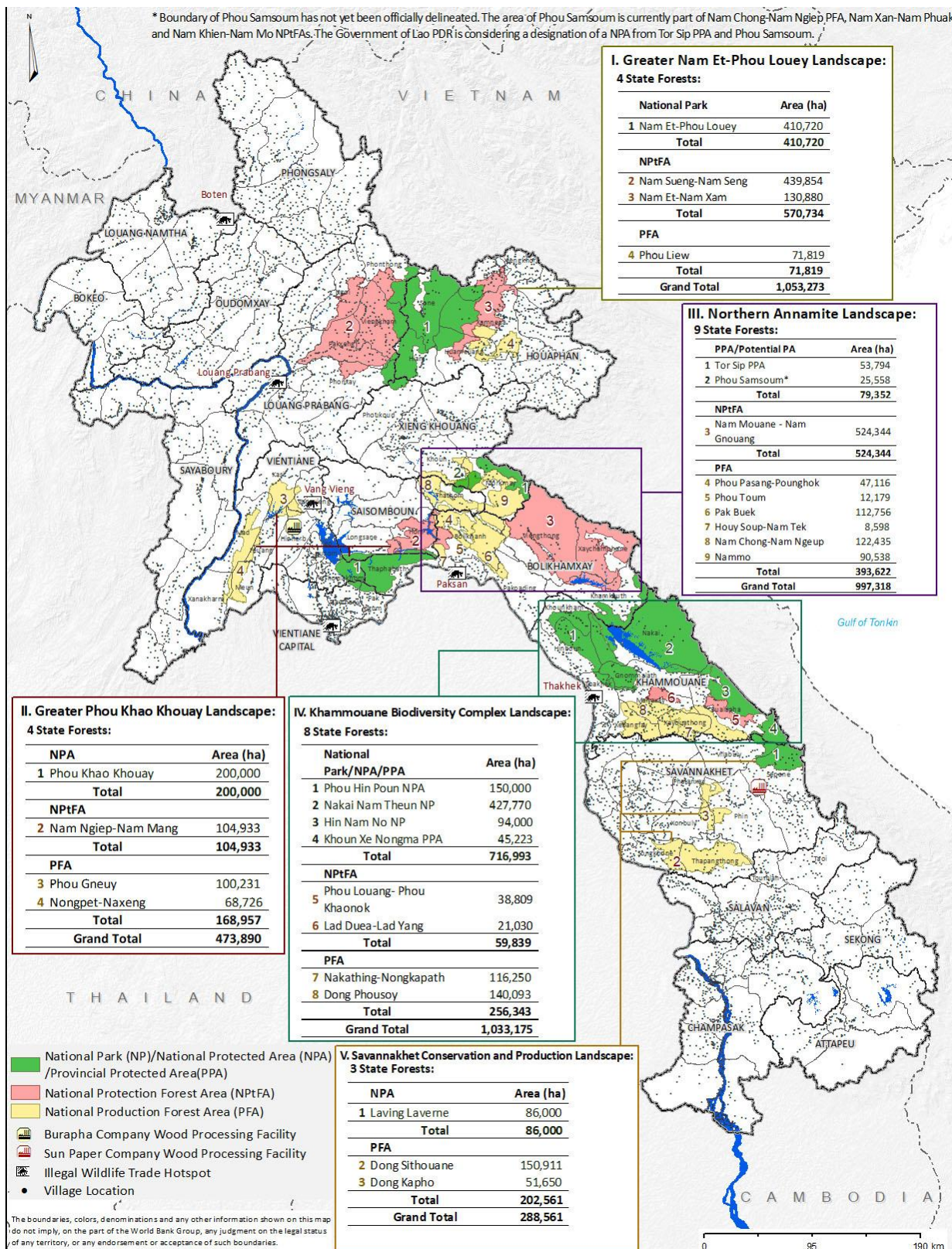
**Annex 21: Detailed Budget ESMF**

No.	Components, Sub-components, Activities and Sub-activities	Costs			Timing							
		Unit	Quantity	Unit cost (US\$)	Total (US\$)	2021	2022	2023	2024	2025	2026	2027
<b>Component 1: Investing in Natural Wealth and Resilience in Forest Landscapes</b>												
<b>Sub-component 1.1: Protected Areas and NB Tourism</b>												
<b>Working Area: 1.1.1: Management and Administration</b>												
<b>1.1.1.6 FPIC and Community Resource Profiling (CEE2; CEF/ step 2)</b>												
1.1.1.6.1	Design/ print information material, leaflets, posters, others	Lump	250	33.00	8,250.00							
1.1.1.6.2	Produce video	Lump	1	5,000.00	5,000.00							
1.1.1.6.3	FPIC and Community Resource Profiling (CEE2; CEF/ step 2)	Lump/ Village	218	200.00	43,600.00							
<b>Working Area: 1.1.7: Village Land Use Planning</b>												
<b>1.1.7.1 Village Forest Land Use Zoning</b>												
1.1.7.1.1	Participate in/ validate of village land use planning (CEE3; CEF/ step 3)	Lump/ Village	218	150.00	32,700.00							
<b>Working Area 1.1.8: Livelihood Development for Conservation</b>												
<b>1.1.8.3 Conduct ES Assessment (CEF/ step 4)</b>												
1.1.8.3.1	Conduct ES assessment and SS-ESMP (CEF/ step 4)	Lump/ Village	218	300.00	65,400.00							
1.1.8.3.2	Apply complementary ESF tools as required (CEF/ step 4)	Lump/ Village	30	150.00	4,500.00							
<b>1.1.8.5 Develop Community Conservation Agreements (CEF/ step 4)</b>												
1.1.8.5.1	Design/ print information material, leaflets, posters, others	Lump	250	33.00	8,250.00							
1.1.8.5.2	Produce video	Lump	1	5,000.00	5,000.00							
1.1.8.5.3	Develop community conservation agreements (CEF/ step 4)	Lump/ Village	218	150.00	32,700.00							
<b>Sub-component 1.2: Sustainable Forestry and Resilient Village Infrastructure</b>												
<b>Working area 1.2.1: Community Engagement</b>												
<b>1.2.1.2 FPIC and Community Resource Profiling (CEE2; CEF/ step 2)</b>												
1.2.1.2.1	Design/ print information material, leaflets, posters, others	Lump	350	33.00	11,550.00							
1.2.1.2.2	Produce video	Lump	1	5,000.00	5,000.00							
1.2.1.2.3	FPIC and Community Resource Profiling (CEE2; CEF/ step 2)	Lump/ Village	322	200.00	64,400.00							
<b>1.2.1.3 Village Forest Land Use Zoning (CEE3; CEF/ step 3)</b>												
1.2.1.3.1	Participate in/ validate of village land use planning (CEF/ step 3)	Lump/ Village	322	150.00	48,300.00							
<b>Working Area 1.2.3: Village Forest Management</b>												
<b>1.2.3.1 Village Forest Management Planning (VFM1)</b>												
1.2.3.1.1	Design/ print information material, leaflets, posters, others	Lump	350	33.00	11,550.00							
1.2.3.1.2	Produce video	Lump	1	5,000.00	5,000.00							
1.2.3.1.3	Village forest management agreements (CEF/ step 4)	Lump/ Village	322	150.00	48,300.00							
<b>Working Area 1.2.4: Village Livelihood Development</b>												
<b>1.2.4.1 Community Action Planning (VLD 1; CEF/ step 4)</b>												
1.2.4.1.1	Design/ print information material, leaflets, posters, others	Lump	350	33.00	11,550.00							
1.2.4.1.2	Produce video	Lump	1	5,000.00	5,000.00							
1.2.4.1.3	Develop community action plans (CEF/ step 4)	Lump/ Village	322	300.00	96,600.00							
<b>1.2.4.2 Developing VLDBG Proposals (VLD 2)</b>												
1.2.4.2.1	Conduct ES assessment and SS-ESMP (CEF/ step 4)	Lump/ Village	322	300.00	96,600.00							
1.2.4.2.2	Apply other/ complementary ESF tools as required (CEF/ step 4)	Lump/ Village	30	150.00	4,500.00							
<b>1.2.4.3 Green Village Infrastructure (VLD3)</b>												
1.2.4.3.1	Conduct ES assessment and SS-ESMP - irrig./ water cons.(CEF/ step 4)	Lump/ site	30	3,000.00	90,000.00							
1.2.4.3.2	Apply other/ complementary ESF tools as required (CEF/ step 4)	Lump/ site	5	1,500.00	7,500.00							
1.2.4.3.3	LXO survey/ land release certificate (Village IS)	Lump/ site	50	1,000.00	50,000.00							
1.2.4.3.4	Recruit IEE road Specialist, irrigation specialist	Lump/ person	2	60,000.00	120,000.00							
<b>Component 3: Institutions, Incentives and Information</b>												
<b>Sub-component 3.3: Information for Decision Support</b>												
<b>Working area 3.3.1: Implementation of ESF Framework under DoE</b>												
<b>3.3.1.1 Support for Implementation of the Policy Framework for SEA and ESIA</b>												
3.3.1.1.1	Orientation/ scoping workshop	Lump/ event	1	5,000.00	5,000.00							
3.3.1.1.2	Review of relevant SEA or technical guidelines/ regulation (section on plantation, tourism)	Lump/ event	2	3,000.00	6,000.00							
3.3.1.1.3	Update of relevant SEA or technical guidelines/ regulation (section on plantation, tourism)	Lump/ event	2	3,000.00	6,000.00							
3.3.1.1.4	Review ESIA guidelines/ regulations (sections on plantation/ tourism concession)	Lump/ event	2	3,000.00	6,000.00							
3.3.1.1.5	Update ESIA guidelines/ regulations (sections on plantation/ tourism concession)	Lump/ event	2	3,000.00	6,000.00							
3.3.1.1.6	Stakeholder consultations on updated guidelines/ regulation	Lump/ event	2	4,000.00	8,000.00							
3.3.1.1.7	Translation and printing	Lump	2	5,000.00	10,000.00							
3.3.1.1.8	Dissemination of updated regulations/ guidelines	Lump/ event	1	10,000.00	10,000.00							
3.3.1.1.9	Complementary technical workshops/ trainings	Lump/ event	4	1,000.00	4,000.00							
3.3.1.1.10	Review of existing environmental awareness raising materials (selected topics)	Lump/ event	1	1,000.00	1,000.00							
3.3.1.1.11	Design of complementary awareness raising materials	Lump/ event	1	3,000.00	3,000.00							
3.3.1.1.12	Print complementary awareness raising materials	Lump/ event	1	5,000.00	5,000.00							
3.3.1.1.13	Conduct/ contribute to awareness raising events	Lump/ event	5	3,000.00	15,000.00							
3.3.1.1.14	IEE support by DoE (review/ supervision)	Lump/ sub-project	20	1,000.00	20,000.00							
3.3.1.1.15	IEE support by DoNRE (review/ certificate/ inspection)	Lump/ sub-project	20	1,000.00	20,000.00							
3.3.1.1.16	IEE support by DoNRE (review/ inspection)	Lump/ sub-project	20	500.00	10,000.00							
3.3.1.1.17	Draft complementary ESIA/ SEA or technical guideline	Lump/ guideline	2	5,000.00	10,000.00							
<b>3.3.1.2 Assessment of Impact of the Private Sector Activities</b>												
3.3.1.2.1	Recruit consultants for SEA/ commercial tree plantations (Inc. in Pro. Plan)	Lump/ service	1	100,000.00	100,000.00							
3.3.1.2.2	Recruit consultants for SEA/ nature based tourism concessions (Inc. in Pro. Plan)	Lump/ service	1	100,000.00	100,000.00							
3.3.1.2.3	Establish SEA technical support team											
3.3.1.2.4	Procure IT/ SEA technical support team	Lump/ set	2	2,000.00	4,000.00							
3.3.1.2.5	Conduct SEA/ commercial plantations (consultations, meetings, field missions)	Lump	1	10,000.00	10,000.00							
3.3.1.2.6	Conduct SEA/ nature based tourism (consultations, meetings, field missions)	Lump	1	10,000.00	10,000.00							
3.3.1.2.7	Formulate/ submit SEA reports											
3.3.1.2.8	Review SEA reports	Lump/ event	2	1,000.00	2,000.00							
3.3.1.2.9	Technical and stakeholder consultation workshops	Lump/ event	6	2,000.00	12,000.00							
3.3.1.2.10	Disseminate SEA results to decision makers	Lump/ event	4	2,000.00	8,000.00							
<b>Working area 3.3.4: Enhancing policy framework on land and forest tenure</b>												
3.3.4.1	Participation of ESFPs in piloting (1 village)	Lump/ village	1	2,000.00	2,000.00							

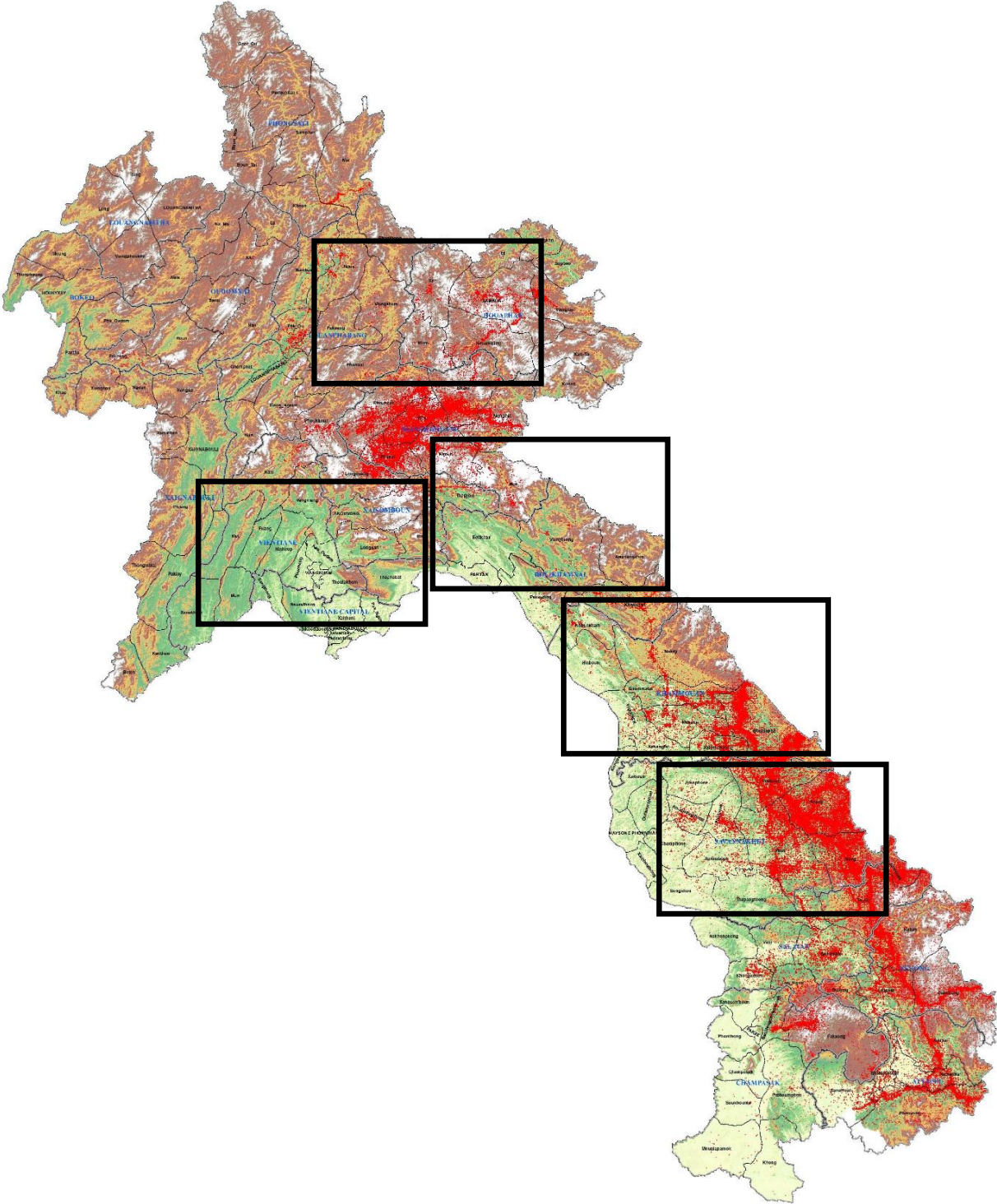
<b>Component 4: Project Management and Monitoring</b>												
<b>Sub-component 4.1 Project Management and Monitoring</b>												
<b>Working area 4.1.2: Implementation of Environmental and Social Framework (ESF)</b>							<b>1,355,000.00</b>					
<b>4.1.2.1 Review, Update and Disseminate ESF documents</b>							<b>56,500.00</b>					
4.1.2.1.1	Review and amend ESCP/ ESMF/ 5-S-ESMPs	Lump/ event	4	1,000.00	4,000.00							
4.1.2.1.2	Review and amend CEF/ SEP	Lump/ event	1	1,000.00	1,000.00							
4.1.2.1.3	Stakeholder consultation on amended ESF documents	Lump/ event	4	6,000.00	24,000.00							
4.1.2.1.4	Translation/ printing	Lump	1	3,000.00	3,000.00							
4.1.2.1.5	Dissemination events	Lump/ event	4	6,000.00	24,000.00							
4.1.2.1.6	Disclosure at DoF website	Lump	1	500.00	500.00							
<b>4.1.2.2 Development of ESF Model Documents and Impact Assessment</b>							<b>189,000.00</b>					
4.1.2.2.1	Support by central level	Lump	5	12,000.00	60,000.00							
4.1.2.2.2	Support by provinces	Lump/ province	9	6,000.00	54,000.00							
4.1.2.2.3	Support by districts	Lump/ district	50	1,500.00	75,000.00							
<b>4.1.2.3 Prepare, Disclose and Manage ESF Documents</b>							<b>304,500.00</b>					
4.1.2.3.1	Prepare local site/ sub-project specific ESF documents by district ES FPs	Lump/ district	100	500.00	50,000.00							
4.1.2.3.2	Hire ethnic interpreters	Lump/ interpreter	1500	60.00	90,000.00							
4.1.2.3.3	Supervision and support by province ES FPs	Lump/ province	18	2,000.00	36,000.00							
4.1.2.3.5	Supervision and support by central ES FPs	Lump	2	13,500.00	27,000.00							
4.1.2.3.6	Translation of ESF documents				-							
4.1.2.3.7	Disclosure and management of ESF documents	Lump	5	1,800.00	9,000.00							
4.1.2.3.8	Conduct ES assessment and SS-ESMP - NPA offices	Lump/ site	4	4,000.00	16,000.00							
4.1.2.3.9	Conduct ES assessment and SS-ESMP - NPA ranger stations	Lump/ site	13	4,000.00	52,000.00							
4.1.2.3.10	Apply other/ complementary ESF tools	Lump/ site	5	1,500.00	7,500.00							
4.1.2.3.11	UXO survey/ land release certificate (protected area IS)	Lump/ site	17	1,000.00	17,000.00							
<b>4.1.2.4 Site-specific Compliance Monitoring, Inspection and Reporting</b>							<b>342,000.00</b>					
4.1.2.4.1	Monitoring of sub-projects/ ESMs, reporting by district ES FPs (CEF/ step 6) - District level	Lump/ district	150	1,200.00	180,000.00							
4.1.2.4.2	Supervision of contractors/ sub-projects/ ESMs, reporting by province ES FPs - Province level	Lump/ province	27	4,000.00	108,000.00							
4.1.2.4.3	Internal control, inspection and reporting by central level - Central level lead.	Lump	3	18,000.00	54,000.00							
<b>4.1.2.5 Grievance Redress</b>							<b>74,000.00</b>					
4.1.2.5.1	Design information materials	Lump	1	2,000.00	2,000.00							
4.1.2.5.2	Print information materials	Lump	2	4,000.00	8,000.00							
4.1.2.5.3	Support to GRM/ districts (CEF/ step 6)	Lump/ district	50	1,000.00	50,000.00							
4.1.2.5.4	Support to GRM/ provinces	Lump/ province	9	1,000.00	9,000.00							
4.1.2.5.5	Support to GRM/ central level	Lump	1	5,000.00	5,000.00							
<b>4.1.2.6 ESF Training, Awareness and 'Lessons'</b>							<b>244,000.00</b>					
4.1.2.6.1	Conduct training needs analysis (Workshop)	Workshop	1	1,000.00	1,000.00							
4.1.2.6.2	Formulate training program/ plan combine with row 150	Lump	1	1,000.00	1,000.00							
4.1.2.6.3	Prepare training materials - ESMF/ environmental matter	Lump	1	1,000.00	1,000.00							
4.1.2.6.4	Prepare training materials - SEP/ CEF, social matter combine with row 152	Lump	1	1,000.00	1,000.00							
4.1.2.6.5	Initial ESF introduction	Events	1	5,000.00	5,000.00							
4.1.2.6.6	Initial ESF training	Events	9	5,000.00	45,000.00							
4.1.2.6.7	Follow up ESF trainings	Events	18	5,000.00	90,000.00							
4.1.2.6.8	Refresher/ particular subject matter trainings	Events	18	5,000.00	90,000.00							
4.1.2.6.9	Conduct exchange events on experiences/ lessons'	Events	2	5,000.00	10,000.00							
<b>4.1.2.7 Other ESF Related Activities</b>							<b>145,000.00</b>					
4.1.2.7.1	Appoint ES focal points (central/ province/ district level)				-							
4.1.2.7.2	Procure IT for ES focal points	Lump/ team	60	2,000.00	120,000.00							
4.1.2.7.3	Procure health/ safety equipment	Lump	1	20,000.00	20,000.00							
4.1.2.7.4	Procure other ES related gear	Lump	1	5,000.00	5,000.00							
4.1.2.7.5	Develop ESF implementation plan/ budget				-							
4.1.2.7.6	Develop inputs into AWP				-							
4.1.2.7.7	Report on ESF implementation				-							
4.1.2.7.8	Review/ include env. matter into guidelines				-							
4.1.2.7.9	Review/ include social matter into guidelines				-							
4.1.2.7.10	Integrate ESF tools into procurement docs				-							
4.1.2.7.11	Sign lists of dos and don'ts by project staff/ TA				-							
4.1.2.7.12	Sign code of conducts by project staff/ TA				-							
4.1.2.7.13	Report on incidents/ accidents				-							
<b>Total</b>							<b>2,629,250.00</b>					

# Annex 22: Maps

## Annex 22a: Map on Priority Landscapes of the LLL Project



Annex 22b: Map on UXO<sup>16</sup> and LLL Landscapes



<sup>16</sup> UXO Sector Annual Report 2020, National Regulatory Authority (NRA), 2021

## **Annex 23: Terms of Reference for Conflict Risk Assessment (CRA)**

### **Background**

The Lao Landscapes and Livelihoods project (LLL) is under preparation by the Government of Lao PDR (GoL) and led by the Department of Forestry (DOF) under the Ministry of Agriculture and Forestry (MAF).

The overall project risks rating is 'Substantial' observing that 'potential restrictions of access to forest land, protected areas and forest products as a result of landscape management, conservation activities' will result in negative impacts on 'natural-resource based livelihoods and customary land use and tenure of the local community and ethnic minority groups.' The risks of land and ethnic related conflict may be therefore increased. Other risks that contribute to increased conflict risks include those emanating from 'elite capture' in land use planning, project benefit sharing and distribution of Village Livelihood Block Grant (VLBG) and the grant for the Most Vulnerable People (MVP) and project personnel related incidents infectious diseases, Sexually Transmitted Diseases (STD); and the COVID-19 transmission.

In this connection, a Conflict Risk Assessment (CRA) is required to identify the potential risks and issues discussed above and mitigation measures to address and manage the risks. The CRA is proposed to be conducted by a Civil Society Organization (CSO) or NGO potentially the Wildlife Conservation Society (WCS) since WCS is currently partnered with the ongoing similar operation-Lao Environmental and Social Project (LENS) financed by the World Bank to implement a conservation and management sub-project in one of the national protected areas to be covered by this LLL project. The CSO is expected to carry the following tasks under this assignment for CRA:

### **Scope of work**

- Assess the potential for social conflict given the types of activities supported by this project i.e. restrictions to forests land protected areas, changes to customary land and tenure of ethnic minority groups, etc.
- Assess risks include those emanating from 'elite capture' in land use planning, project benefit sharing and distribution of Village Livelihood Block Grant (VLBG) and the grant for the Most Vulnerable People (MVP) and;
- Assess potential risks of project personnel related incidents including Sexually Transmitted Diseases (STD); and COVID-19 transmission.
- Propose mitigating measures
  - provide recommendations and mitigations associated to the risks of social and ethnic conflict related to the restrictions to forests land protected areas, changes to customary land and tenure of ethnic minority groups
  - Provide recommendations to the Stakeholder Engagement Plan (SEP) and other project processes on how selection and engagement of beneficiaries
- Review the implementation guidelines for land use planning, VLBG and the grant for the MVHs, to be developed before the LLL project effectiveness and community health and safety plan including COVID-19 preventative measures and GRM. This review will assess the adequacy and effectiveness of the process and procedures provided in the guidelines and plan for implementing the above activities to ensure inclusiveness, transparency and accountability and identify implementable actions to manage potential risks of increased conflicts over forest land and resources, distribution of VLBG and grant for MVHS.

## **Deliverables**

- In the inception phase, to be submitted for a review and clearance by the World Bank two calendar weeks after the contract signing:
  - Proposal for an assessment workplan and methodology including an annotated outline of the report addressing the scope of work listed above
- Upon completion
  - Narrative report to be submitted to the World Bank within 6 weeks after the contract signing

## **Methodology**

- a) review of relevant documentation;
- b) Random surveys and discussions with the project stakeholders;
- c) Key Informant Interviews with central, provincial and district level informants from Protected Areas, DOF, PAFO, DAFO, etc.
- d) Focus group discussions with representatives from the communities, village fund committees and ethnic groups;
- e) Writing of the assessment report in English following the present guidelines.
- f) The above-mentioned list of tasks/suggested methods could still be adjusted according to the discussions with the selected organization prior to the signing of a contract.



## Annex 24: Template: Memorandum of Understanding (MOU) on Security Risk Management

(provided in an Annex to ESMF as well as in the SRA report)



**Lao People's Democratic Republic**

**Peace Independence Democracy Unity Prosperity**



**Province:**  
**District**

**PFA:**  
**Village:**

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### **Memorandum of Understanding (MOU) on Security Risk Management**

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#### **1. IN ACCORDANCE WITH**

- Amended Law on Forestry, No. 08/ NA, 13/06/2019
- Decree on Protected Areas, No. 134/ GoL, currently amended Law on Wildlife and Aquatic, No. 07/ NA, currently amended 24/12/2007
- Order on Strengthening Strictness of the Management and Inspection of Prohibited Wild Fauna and Flora, No. 05/ GoL, 08/05/2018
- Guideline on Collaborative Management in National Protected Areas
- The Master Plan for the National Protected Areas of the Lao PDR 2020-2025, Department of Forestry, Ministry of Agriculture and Forestry, 2020
- The Law on the prevention and suppression of the corruption (2015)
- The code of conduct for military leaders inscribe in the article 29 and 31 of the Law on the National Defense Obligation No.02/90 (1995).

#### **2. OBJECTIVE**

This MoU aims to provide locally-based mitigations measures and promote multi-stakeholder cooperation around security and governance between guardian villages, security personnel, District Agriculture and Forestry Office (DAFO) and the project. The MoU also prescribes modalities of grievance reporting and investigation as well as additional measures to protect staff and employees in areas of high-banditry risks.

#### **3. MULTI STAKEHOLDERS COOPERATION AROUND SECURITY AND GOVERNANCE**

Guardian villages

- All villagers will comply with the laws and regulations governing forest and land management and wildlife conservation and protection in accordance with laws, existing district by-laws, and provincial regulations (on which this agreement is based).

- The Village Forest and Livelihood Committee (VFLC) will engage in co-management of the NPA, implementation of plans and monitoring, enforcement of (Village Police) regulations and management of fines from violations that come under their jurisdiction.
- The Village Forest and Livelihood Committee (VFLC) will implement, monitor and enforce the regulations in the approved VLUP Agreement. The approved VLUP Agreement applies to all forests and lands in the Guardian Village's Territory and includes the collection of fines from people for violating the regulations in the VLUP Agreement. The types and amounts of fines are shown in the VLUP Agreement.
- Village authorities are empowered in the process of law enforcement and can arrest, seize illegal timber, high value Non-Timber Forest Products (NTFPs) or endangered species and report to the relevant authorities.

### **The project**

- Deploy resources to support law enforcement especially in terms of logistical means for patrolling, strategic check points to control timber transport and prosecution of perpetrator.
- The project should set up reporting system that would ensure that the anonymity of the informant is strictly preserved to avoid any form of retaliation.
- Empower village authorities in law enforcement activities to arrest, seize illegal timber, high value NTFPs or endangered species and report to the relevant authorities.
- Restrict residence time for the security personnel in the community to the time of the activity only, and ensure they drive in and out immediately before and after.
- Carry out start-up training and annual refresher courses to the military personnel, on a regular basis, on the use of force and appropriate behavior and conduct as set out in the Community Engagement Framework (CEF), Stakeholder Engagement Framework (SEP) and Environmental and Social Management Framework (ESMF) (with greater emphasis on Environmental and Social Standard 4 (ESS4) requirements) including protocol for community engagement and reporting procedures and channels including grievance redress, code of conduct to address and prevent potential risks of Gender Based Violence (GBV), Violence Against Children (VAC), etc.
- Informed the community on the conduct expected from the security personnel and are educated on the GRM to ensure any form of misconduct by the security personnel is reported

### **Security personnel**

- The Army units will be involved in certain Project activities as "security personnel", Project stakeholders and/or beneficiaries.
- The Army units will not involve in management of any Project activities and the Project Resources. The civil works related to development/maintenance of park infrastructure and facilities will be implemented and managed by the Department of Forestry. The Army's involvement in the Project are as follows:
  - a) Army personnel may participate in joint park patrols and manage checkpoints
  - b) Participate in the interagency Law Enforcement technical teams which should comprise of the Heads of the patrolling teams, other law enforcement agencies (police, army) and heads of village patrol groups, as appropriate
  - c) Military personnel involved or based in the PPP-NPA must behave with high ethical standard, avoid abuse, corruption and display irreprovable behaviour in compliance with the existing Code of Conduct applied by the Lao Army.

- Participate in training and annual refresher courses on the use of force and appropriate behaviour and conduct as set out in the CEF, SEP and ESMF including protocol for community engagement and reporting procedures and channels including grievance redress, code of conduct, GBV, VAC, etc.

#### **4. GRIEVANCE REPORTING AND INVESTIGATIONS**

- In the event that contract related grievances occur that cannot be resolved between the signatories of this agreement they will be addressed through the agreed to grievance mechanism starting with the Village Mediation Unit. If not satisfied with the outcomes, Complainants can take their grievance to the District Project Management Unit established in DoF or Provincial Project Management Unit under the Provincial Department of Agriculture and Forestry (PAFO). If still not satisfied Complainants can use existing government grievance channels or hotline direct call to the PAFO and the provincial assembly.
- The project will set up reporting system that would ensure that the anonymity of the informant is strictly preserve to avoid any form of retaliation.
- The project will ensure that host communities are well informed on the conduct expected from the security personnel and are educated on the GRM to ensure any form of misconduct by the security personnel is reported.

#### **5. MEASURES TO PROTECT STAFF AND EMPLOYEES IN AREAS OF HIGH-BANDITRY RISKS**

In areas of high-banditry risks, the staff and employees may request military escorts for work-related travel. The areas and occasions where this may be implemented will be agreed on a case-by-case basis between the project and the military representatives. Community Health and Safety Measures and Code of Conduct must be observed by the security personnel during their escorts and joint visit to the areas of high-banditry risks.

#### **6. MECHANISMS FOR SECURITY INCIDENT/CRIME REPORTING AND PROMOTING SENSITIVE INTERVENTIONS**

- The project will ensure that investigation of all allegations of unlawful or abusive acts of army personnel is conducted by responsible agencies or authorities and corrective actions are taken, monitored and recorded to prevent recurrence. Any conflicts should be reported to the Grievance Redress Mechanism set up by the project. Stakeholders at all level from central to community level should be made aware of the GRM in place. Any form of retaliation for raising grievances is prohibited, and if it occurs it should be immediately reported to the established multi-stakeholder group?
- The project will prepare an incident report documenting any incident involving military personnel that involves the use of any weapon, which includes the firing of weapons under any circumstance (except authorized training), any escalation of force, damage to equipment or injury to persons, attacks, criminal acts, traffic accidents, and will conduct an inquiry in order to determine the following:
  - a) time and location of the incident;
  - b) identity and nationality of any persons involved including their addresses and other contact details;
  - c) injuries/damage sustained;

- d) circumstances leading up to the incident; and
- e) any measures taken by the project in response to it.

This Agreement is hereby signed in 5 original documents, one each for the VDC, District Agriculture and Forestry Office, Military personnel, District Governor's Office and the Department of Forestry (Vientiane).

Village authorities (on the behalf of the community)

Representative of military personnel

District Agriculture and Forestry Office (DAFO) on behalf of the DOoF/MAF

Name:

Name:

Name:

Position:

Position:

Position:

Signature:

Signature

Signature:

Certified by:

District Governor:

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