

**Annex 7: Ethnic Groups Development Framework (EGDF) (04 November 2018)**

**LAO PEOPLE'S DEMOCRATIC REPUBLIC  
PEACE INDEPENDENCE DEMOCRACY UNITY PROSPERITY**



**Ministry of Public Works and Transport  
Department of Water Supply**

**Draft Ethnic Groups Development Framework  
(EGDF)**

**Water Supply and Sanitation Project (WSSP)**

**Vientiane, 03 November 2018**

## Abbreviations and Acronyms

ARAP	Abbreviated Resettlement Action Plan		LAR	Land acquisition and resettlement
DEPD/PTI	Division of Environmental and Disaster Protection of PTI		LACR	Land acquisition and compensation report
DMS	Detail Measurement Survey		LFNC	Lao Front for National Construction
DoR	Department of Road		LWU	Lao Women Union
DONRE	District Office of Natural Resources and Environment		MoNRE	Ministry of Natural Resources and Environment
DRC	District Resettlement Committee		MPWT	Ministry of Public Works and Transport
DPWT	Provincial Department of Public Works and Transport		OP/BP	Operation Policy/Bank Procedure
EIA	Environmental Impact Assessment		PRC	Provincial Resettlement Committee
EG	Ethnic Groups		PTI	Public Works and Transport Institute
EGDF	Ethnic Groups Development Framework		RAP	Resettlement Action Plan
EGDP	Ethnic Groups Development Plan		RMF	Road Maintenance Fund
			RMD	Road Maintenance Division
ESMF	Environmental and Social Management Framework		RoW	Right of ways
FPIC	Free, prior, and informed consultation		RPF	Resettlement Policy Framework
GoL	Government of Laos		SA	Social Assessment
GRC	Grievance Redress Committee		SIA	Social Impacts Assessment
GRM	Grievance Redress Mechanism		VRC	Village Resettlement Committee
IEE	Initial Environmental Examination		WASH	Water Sanitation and Hygiene
Lao PDR	Lao People's Democratic Republic		WB	World Bank

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## I. Introduction

1. This document is the Ethnic Groups Development Framework (EGDF) for the Lao Water Supply and Sanitation Project (LRSP II or the Project) which is being prepared by the Ministry of Public Works and Transport (MPWT) through the Department of Water Supply (DWS), for possible financing by the World Bank (WB).

### 1.1 The Project

2. The Project activities will be implemented through the following components: (1) Community empowerment and integrated WASH delivery aiming to support rehabilitation of the existing and building of the new water supply system in the rural villages and emerging towns in northern Lao PDR using demand driven approach; (2) Support to Community Water Supply, Sanitation and Hygiene with the objective to (i) to strengthen the institutional capability of Naam Saat to support the sustainability of the community managed water supply systems; (ii) to create and test monitoring and evaluations systems, and (iii) to develop guidelines to support the sustainability and scaling up of sanitation and hygiene activities; (3) Implementation support, sector development and coordination, this component is related to the establishment of a project management unit, component management unit, and district project offices. These will be supported by technical team of consultants for overall project management, monitoring of implementation, outputs and outcomes, and technical and financial reporting for sustainable WASH, capacity building, institutional strengthening, social and environmental safeguards and community empowerment; and (4) Contingency Emergency Response, this component will allow for a reallocation of credit proceeds from other components to provide emergency recovery and reconstruction support following an eligible crisis or emergency at the national or sub-national level. In light of the Project design, the CERC would be expected to be operationalized through a reallocation from Component 1 and 2 to provide emergency recovery and reconstruction support. To ensure that there is capacity an Emergency Response Manual (ERM) will be developed by the Department of Water Supply for specific eligible disasters, detailing fiduciary, safeguards, monitoring and reporting, and any other necessary implementation arrangements.
3. The Project will be implemented by DWS that will establish Project Management Unit (PMU) and district project offices or Project Implementation Unit (PIU). These will be supported by a technical team of consultants for overall project management, monitoring of implementation, outputs and outcomes, and technical and financial reporting for sustainable WASH, capacity building, institutional strengthening, social and environmental safeguards and community empowerment. The Division of Environment and Disaster Protection of PTI (DEDP/PTI) is responsible for supervision and monitoring of environment and social safeguards.
4. Nam Saat of MoH will be responsible for the establishment of Component Management Unit (CMU) to support the implementation of Component 2. The CMU will be supported by technical team of consultants for overall project management, monitoring of implementation, outputs and outcomes, and technical and financial reporting.

## 1.2 Need for EGDF

5. Among the proposed Project activities, water supply infrastructure for a single big village or multiple villages in the emerging towns will be implemented under Component 1 that might involve potential land acquisition and/or resettlement impacts and/or ethnic minority (such as Hmong, Khmu, Lu Mien, Pong, Akha and others) who are known in Lao PDR as Ethnic Groups (EG) and meet WB eligibility criteria under OP/BP 4.10. To mitigate these impacts, OP/BP 4.10 requires that special planning measures be established to protect the interests of ethnic groups (i.e. social groups with a social and cultural identity distinct from the dominant society that makes them vulnerable to being disadvantaged in the development process). The EG are considered to be vulnerable ethnic communities in Lao PDR as their livelihood is heavily based on subsistence agriculture and forest. The presence and involvement of these EG triggers the WB operational policy on *Indigenous Peoples (OP/BP 4.10)*. As a prerequisite to WB support, the Project must meet the requirements of OP/BP 4.10.
  
6. Project provinces are located in remote areas resided by different ethnic groups. Given that the Project aims to improve quality of water supply and sanitation in twelve districts of four northern provinces, all local population, including ethnic communities, will collectively benefit from the Project. However minor impacts may also occur and need special mitigation measures. OP/BP 4.10 requires for screening of EG community in the subproject area and if they are present preparation of an Ethnic Group Development Plan (EGDP)<sup>1</sup> will be required. *Free, prior, and informed consultation (FPIC)* will be necessary during the planning and implementation.
  
7. Given that all the subproject works and locations are not finalised before appraisal and to ensure that affected EG populations will have opportunity to derive benefits under the Project and treated appropriately if they are negatively affected, an Ethnic Groups Development Framework (EGDF) has been developed describing the policy for consultation procedure (FPIC) for the subprojects to ensure that the EG *can voice their concerns and their opinions are heard throughout the project preparation and implementation process.*<sup>2</sup> Need for preparation of an EGDP will be identified during the safeguard screening to be conducted as part of the road maintenance investment plan which will be prepared annually. WB approval of EGDP will be required. The EGDF is an integral part of the Environment and Social Management Framework (ESMF) and is included as an annex to the ESMF prepared for the Project. The Stakeholder Engagement Assessment and Framework for the Lao PDR: Water Supply and Sanitation Project developed by World Bank in June 2018 suggested that EG communities are present in most subproject areas and preparation of EGDP the subprojects will be required.

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<sup>1</sup> In Lao PDR, the term Ethnic Groups is used for ethnic minority and the term Ethnic Groups Development Plan is used for the Indigenous Peoples Development Plan (IPDP) as required by OP/BP 4.10.

<sup>2</sup> The consultation procedure is in line with the National Guidelines on Consultation with Ethnic Groups in Lao PDR which was established in 2013 by the Lao Front for National Construction (LFNC) which is responsible for overseeing all matters related to ethnic communities in Lao PDR.

## **II. Project Description Related to OP/BP 4.10**

8. Under the Component 1, Two types of water supply systems will be rehabilitated/ upgraded or constructed: (i) community-based systems, managed by the communities themselves and supported by a sustainability unit within Nam Saat; and (ii) larger villages, kumban, emerging towns managed by PNPs. It is expected the impacts will be minor and localized such as land take for the intake, water treatment plan, main pipe for raw water transmission and temporary impacts during pipe lay out work.

### III. Policy, Legal, and Institutional Settings

#### 3.1 Government Policy, Plan, and Program

8. *GOL policy and plan for poverty reduction:* In Lao PDR, the Five Year Plan from 2005-2010 aimed to eradicate the poverty with a target of reducing 50% of the poverty households by 2010 and 0% by 2020. To achieve this objective, a number of policies, plans, and programs have been implemented and those related to ethnic communities include: support for food security, commercial agriculture production, rural development, infrastructural development, external economic relations, and improve access to services. Since 2000, villages are responsible for data collection on the living condition of families. Data suggested that Mon-Khmer and Hmong-Mien and Sino-Tibetan ethnic communities are the poorest in the country and identifies several causes of poverty including problems pertaining in land availability for food production and income generation. The National Socioeconomic Development Plan (NSED 2001-2005) focused on poverty reduction in the poorest areas and links poverty reduction to stop “pioneer shifting cultivation or slash and burn new forest area”, however, the “rotational cultivation” may still be maintained. The sustainable land and forestry development programs are promoted by the GoL.

9. *GOL Policy and Legislative Framework on Ethnic Community:* The 1991 Constitution defined Lao PDR as a multi-ethnic state, with “equality among all ethnic communities” as described in the Constitution and the party policy as follows:

- The Constitution of Lao PDR (1991) defines that all "citizens of all ethnicity" have rights in education, health, land use and ownership, domicile of choice, and economic development regardless of sex, religion, social status, education, or ethnicity; as well as freedom of religion, freedom of speech; freedom to peacefully assemble and to protest. All citizens have the right to work and carry out their chosen livelihoods. Articles 8 and 22, guarantee that there will be no discrimination on the basis of ethnicity or gender. Articles in the Constitution where ethnic People are specifically mentioned are as follows: Article 1 – Lao PDR is a nation unified and indivisible of all ethnic communities; Article 2 - all power is of people, by people, and for the use of the multiethnic people; Article 3 - the right of a multi-ethnic people to be owners of the nation is exercised and guaranteed by the political system; Article 7 - mass organizations are the focal point for the solidarity and mobilization for citizens of all backgrounds and ethnicity as participating members in the safeguarding and edification of their rights and interests; Article 8 - the State will carry out a policy of unity and equality among the various ethnic communities. All ethnic communities have the right to preserve and improve their own traditions and culture and those of the nation. Discrimination between ethnic communities is forbidden. The state will carry out every means in order to continue to improve and raise the economic and social level of all ethnic communities; Article 13 - the economic system is for the purpose of improving the standard of living, materially and spiritually, of a multi-ethnic people; Article 19 - the State and the people will collaborate to build schools of all levels in order that a complete education system will be available to all, especially areas inhabited by ethnic People; and Article 22

- all Lao citizens, regardless of their sex, social position, education, beliefs or ethnicity, are equal before the law.

- The 1992 ethnic policy, *Resolution of the Party Central Organization concerning Ethnic Affairs in the new Era*, focuses on gradually improving the living conditions of the ethnic communities, while promoting their ethnic identity and cultural heritage. The general policy of the Party concerning the ethnic communities include: Build National Sentiment (national identity); Realize Equality among ethnic communities; Increase the Solidarity Level among ethnic communities as members of the greater Lao family; Resolve Problems of Inflexible and Harmful thinking, as well as economic and cultural Inequality; Improve the living Conditions of the ethnic communities step by step; Expand, to the greatest extent possible, the good and beautiful Heritage and ethnic Identity of each group as well as their Capacity to participate in the affairs of the nation.

10. *Other GoL related policy and legislation:* Given that most of ethnic minorities depends on subsistent agriculture and natural resources, they are also affected by other polices, and legislation related to land use and management of natural resources and the key ones are highlighted as follows:

- *The 1997 Land Law:* The GoL considers Land as the National Community Property that is administered by the State for use and as a mean for all Socio-Economic Development. All the lands must be used effectively and to be based on the macro level and micro-level development planning. There is no personal ownership of land, but the citizens are allowed to use it and have a customary right to its resources. The Land Law also stipulates that, in case of public infrastructure development projects cause damages to trees, crops or buildings of the private owners, the land owners have the rights to be compensated for the damages. Ethnic communities maintain land tenure user rights equal to all Lao citizens with certain specifications and even preferential access and customary user rights to certain forest products (Forestry Law, Article 30; MAF Regulation 535; MAF Orders 54 and 377). Customary rights on land use among the ethnic communities are passed down from generation to generation. Traditionally, no land titles were involved and no boundaries were officially demarcated. In remote rural areas, these customary rights are still practicing to the acceptance of the local authorities widely. Many ethnic communities have traditionally recognized certain areas of forest as sacred forest sites. In addition, among ethnic communities, individuals or households were considered to be the owners of specific trees, such as those used for resin-tapping or that may have ancestral spiritual significance. These are important aspects of village cultural and economic life that need to be investigated and strictly respected.
- However, as part of GoL efforts to allocate the land to individuals and to demarcate the village forest and land boundaries for proper land use planning and forest management in a sustainable way and the establishment of MoNRE and promulgation and/or revision of several

legislations, it is expected that there may be some changes in ways to manage and uses land, forest, and other natural resources. MoNRE is revising the land law, water law, and promulgated a number of decrees to manage protected areas and protection forest.

- *Compensation and resettlement (Decree 84/PM)*: this decrees aims to protect the right of affected peoples by investment projects include ethnic minorities. The decree aims at ensuring that the losses incurred by affected people are redressed such that Affected Persons share project benefits, are assisted to develop their social and economic potential in order to improve or at least restore their incomes and living standards to pre-project levels.

### **3.2 Institutional Arrangements**

11. While GoL agencies and provinces are responsible for compliance of the policy, plans, and regulations related to ethnic communities established by the following key organizations:

- The “Ethnic Communities Committee” under the National Assembly, is in charge of drafting and evaluating all legislation concerning ethnic communities, lobbying for its implementation and the implementation of its socio-economic development plans.
- The “Institute for Cultural Research” under the Ministry of Information and Culture, is responsible for carrying out all ethnic research activities.
- The “Lao Front for National Construction (LFNC)” as the mass (political) organization, is the lead institution for ethnic affairs.

### **3.3 World Bank Policy on Indigenous People (OP/BP 4.10)**

12. *Indigenous Peoples (OP/BP 4.10)*: These instruments represents the World Bank’s commitment to poverty reduction and sustainable development by enshrining respect for the cultures, environments, economies and rights of indigenous peoples. The OP/BP 4.10 requires that the projects affecting indigenous peoples (IP) must ensure: (a) IPs are engaged in an a process of free, prior and informed consultation; (b) The consultation process results in broad community support for the project; (c) Social analysis is undertaken to ensure potential impacts on IPs are identified; and (d) An IP plan is developed to ensure IPs receive culturally appropriate project benefits, and that adverse impacts are avoided, minimized, mitigated, or compensated. It also mentions that where IPs are the sole or overwhelming majority of project beneficiaries, a separate IP Plan is not required, and that requirements outlined above be integral to the project documents as appropriate. The “Indigenous Peoples” as described by World Bank is not commonly used in Lao PDR, but the official terminology “Ethnic Group” (EG) is being used to represent small groups of ethnic communities and the term “Ethnic Group” will be used throughout this report.

#### IV. Social Assessment and Potential Impacts

13. A quick social assessment was conducted by reviewing reports and documents related to EG and potential impacts due to water supply and sanitation projects. Key findings are briefly summarized below.

##### 4.1 Ethnic Community National Profile and Classification

14. Lao PDR is a cultural diverse country. Although the Lao language is the official language, other ethnic languages are still used among different ethnic groups. Most ethnic groups do not have the written language and their traditional customs and religious beliefs vary according to the ethnic groups they belong to. Buddhists form the big majority and they mainly belong to the general Lao peoples.

15. In order to adapt to the new changes and bring forth unity among various ethnic communities in Lao PDR, the LFNC identified 49 ethnic categories and more than 160 ethnic sub-categories. The official terminology uses in the Constitution for describing the diverse population of the Lao PDR has been “Bunda Xon Phao” or “all ethnic communities”, while the name of the groups is normally used to classify the EG. According to LFNC, the Lao ethnic communities are categorized into four ethno linguistic communities as below:

- The “Lao-Tai” (also referred to as “Tai-Kadai”), which includes the dominant “Lao ethnic communities” and the “lowland Tai” speaking communities. The “Lao-Tai” consists of 8 ethnic sub-communities as in [Table 4-1](#).

**Table 4-1: List of Ethnic Community under Lao-Tai Linguistic Group**

	Sub-Ethnic		Sub-Ethnic		Sub-Ethnic
1	Lao	4	Tai	7	Phutai
2	Leu	5	Nhuane	8	Yang
3	Xaek	6	Tai neua		

- The second linguistic group is “Austro-Asiatic, also called Mon-Khmer” group, which consists of 32 ethnic sub-groups ([Table 4-2](#)).

**Table 4-2: List of Ethnic Groups under Mon-Khmer Linguistic Group**

	Sub-Ethnic		Sub-Ethnic		Sub-Ethnic
1	Khmu	12	Phong	23	Bid
2	Pray	13	Thene	24	Lamed
3	Xingmoon	14	Eudou	25	Samtao
4	Katang	15	Makong	26	Taoey

5	Yru	16	Triang	27	Katu
6	Yae	17	Brao	28	Kriang
7	Hahak	18	Oey	29	Suay
8	Jeng	19	Kadang	30	Pako
9	Nhaheun	20	Lavy	31	Nguane
10	Kmer	21	Toum	32	Tri
11	Moy	22	Kree		

- The “Hmong-lumien” group which consists of 2 ethnic subgroups: Hmong and lumien (lumien is also called Yao) (Table 4-3).

**Table 4-3: List of Ethnic Group under Hmong-lumien Linguistic Group**

	Sub-Ethnic		Sub-Ethnic		Sub-Ethnic
1	Hmong	2	lumien		

- The “Chinese-Tibetan” (also referred to as “Sino-Tibetan”), which includes the Chinese and Tibeto-Burman Ethnic Community and consists of 7 ethnic subgroups (Table 4-4)

**Table 4-4: List of Ethnic Groups under Chinese-Tibetan Linguistic Group**

	Sub-Ethnic		Sub-Ethnic		Sub-Ethnic
1	Akha or Ko	4	Phounoy	7	Lolo
2	Sila	5	Lahou		
3	Hor	6	Hayi		

## 4.2 Ethnic Groups in Project Provinces

16. **Challenges:** Most Ethnic Groups in Lao PDR are poor and disadvantaged. Despite the efforts made by the GoL institutions to improve the socioeconomic conditions of these peoples, many of them still lag behind other Lao peoples especially in terms of poverty rates, literacy and health. Many ethnic groups still cannot speak and read Lao language and thus unable to effectively make use of schools and health clinics, which have mainly Lao speaking staff. Most of the ethnic groups are staying in the remote areas of the country and difficult to reach for proper village development. Most of these peoples live on subsistence agriculture while efforts are being made by GoL and development partners to promote additional practices on handicrafts and local trade. Background information on the Project provinces is presented in ESMF Annex 5 and those related to ethnic communities are briefly summarized in Appendix 1).

17. However, although it is well accepted that Hmong, Khmu, lu Mien, Akha, Phong and others are considered as an EG and most of them living in the remote villages of the target provinces, detailed information on ethnic communities and ethnic groups in

the Project provinces is lacking. It is expected that detailed information for the provinces will be collected when preparation of EGDP for the subproject is required.

### 4.3 Potential Project Impacts on the Ethnic Groups

18. *Potential Positive Impacts:* Implementation of the Project will be positive. As water supply system and sanitation will benefit rural residents in twelve districts of the four provinces which have high poverty and high malnutrition amongst the children. The closures directly affect access to basic services, and markets, and negatively affect incomes and livelihoods. In addition, strengthening central-local coordination and the capacities of MPWT for strategic planning, integration of climate change adaptation into sector strategies, enhanced coordination between central and local levels, governance and accountability, monitoring and evaluation, and coordination with development partners will enhance sustainability of road access. Ethnic communities and ethnic groups will benefit from improving quality of road maintenance and served by the roads. In area where surfacing is made, dust generation will be significant reduce and improve health of local residents.

19. *Potential negative impacts:* Potential negative impacts of the Project will be minor, short term and temporary in clearing of vegetation, impacts on private gardens and trees for infrastructure placement and/or construction activity requirement, sedimentation of water way, dust, noise, wastes, competition for local resources (NTPF and TFP) from labor forces, local traffic, road safety, occupational health and safety of workers and villagers and nuisance during construction. These impacts will be mitigated through effective management and supervision of contractors, safety signs, and implementation of safety measures by local communities. Implementation experience under the on-going LRSP suggested that these impacts during construction could be adequate mitigated through close supervision and monitoring of contractors.

## V. EGDF Principles and Procedures

### 5.1 Basic Principles of the EGDF

20. The basic principles of the EGDF to be applied to the WSSP will be as follows:

- **Scope:** Ethnic group peoples can be identified in particular geographical areas by the presence in varying degrees of the following characteristics: (a) a close attachment to ancestral territories and to the natural resources in these areas; (b) self-identification and identification by others as members of a distinct cultural group; (c) an indigenous language, often different from the national language; (d) presence of customary social and political institutions; and (e) primarily subsistence-oriented production.
- Based on the above characteristics, there are many ethnic groups in Laos. According to LFNC classification, four linguistic groups with 49 ethnic categories (see section 4.1) will be applied. They are Lao-Tai, Mon-Khmer, Hmong-lumien, and Sino-Tibetan groups. The Bank has determined that

OP/BP 4.10 will apply to at least three linguistic groups except for Lao-Tai, who still maintain cultural and socioeconomic practices different than those practiced by the Lao national majority.

- In the context of this Project, it is important to note that the OP/BP 4.10 refers to social groups and not to individuals. The primary objectives of OP/BP 4.10 are: (a) to ensure that such groups are afforded meaningful opportunities to participate in planning that affects them; (b) to ensure that opportunities to provide such groups with culturally appropriate benefits are considered; and (c) to ensure that any project impacts that adversely affect them are avoided or otherwise minimized and mitigated.

21. Since the Project will include subprojects in twelve district of 4 provinces which are located in the north, they will benefit ethnic groups inhabited in these provinces. To ensure that all communities are consulted properly, the following principles will be considered during the data collection and FPIC process of the subprojects (see Section 5.3):

- All communities will be approached in the spirit of honest and constructive collaboration, and clearly explained about the rationale for road safety, and of the subproject's purpose, activities, potential benefits and potential losses.
- Where broad community support is not established based on "*free, prior and informed consultations*", such communities have the right to file a complaint on the Project. In order to minimize the risk that a broad community support is not established, all efforts will be made through active participation of local communities especially women and vulnerable groups.
- All communities, regardless of their ethnic group or social status, will be engaged in an inclusive and culturally relevant manner on the basis of a free, prior and informed consultation aimed at establishing broad-based and sustainable community support for the subproject.
- All communities will be informed by the responsible DPWT and Nam Saat throughout the subproject implementation through appropriate means of information, education and communication. If needed, communication throughout the subproject cycle will use appropriate information, education, and communication materials to respond to issues of language and ethnicity, literacy/illiteracy, gender, and social vulnerability.
- All communities will have the opportunity to participate in and benefit from the subproject as well as take on the responsibility to adhere to road safety rules and sustainable road maintenance.
- Subprojects will give sufficient attention to encourage women to play an active role in the consultation process. During implementation, the women will be: (a) consulted and their concerns addressed; (b) given the opportunity to participate in community group meetings, focus group discussions,

planning and implementation; and (c) represented equally in the Grievance and Redress Committees (GRCs).

## **5.2 EGDF Objective and Procedure**

22. This EGDF has been prepared in order to provide some general principles and procedures that will be applied during project implementation, if ethnic groups are reported in any of the subprojects. Therefore, the purpose of the framework is *for ensuring that FPIC is allied and that ethnic groups is given a voice and an opportunity to participate in the Project*. To achieve this objective, the key 4 steps will be carried out below.

### **Step 1: Screening for ethnic people among beneficiary populations**

23. The Project has been designed to recognize that a 'meaningful' participation by poor and disadvantaged groups of people in a society requires special focus that goes beyond routine project implementation management. In the ESMF and RPF detailed screening criteria and guidelines on social assessment and resettlement aspects are included. Under the Project, the subproject will be subject to safeguard screening (using forms in ESMF Annex 1) during selection of subprojects stage. A quick assessment will be undertaken to identify and/or re-confirm the following:

- The local agencies especially the provincial and district PONRE/DONRE, LFNC, and LWU are aware of the subproject and willing to actively participate during the subproject implementation;
- The local communities are informed/consulted and majority support the subprojects;
- The number of local communities and/or individual to be negatively affected by the subproject activities due to land acquisition, relocation of assets/trees;
- The safeguard screening and consultation process will provide guidance on scope of data collection on social and economic and technical aspects of each subproject. If the social screening and consultation confirms that no ethnic group populations exist in the project areas, no further action is necessary. If the safeguard screening and consultation indicate that there are potential social issues because of ethnic group populations in such subproject, DPWT will consult DEPD/PTI and/or WB for guidance;

24. The Project is committed and will ensure that local communities are (i) consulted in matter relating to each subproject, (ii) provided opportunities for participation in decision making related to the subproject, and (iii) provided opportunities for participation in subproject activities should they so desire.

### **Step 2: Principles and procedures applied where the subproject involves ethnic groups**

25. If the ethnic groups are among beneficiary populations and/or will be negatively affected by the subproject, a basic social economic profile of beneficiary population or project affected people will be developed by collecting both qualitative and quantitative data in the project areas from local authorities and consultation with the ethnic groups with an aim that *all ethnic groups can voice their concerns and their opinions are heard throughout the project preparation and implementation process*. Special attention will be given to hear voices from women and vulnerable peoples. Consultation with the ethnic groups will also be in line with the national guideline on ethnic group consultation issued in 2013 by the LFNC.

26. The DPWT of the Project provinces with technical guidance from the DEDP/PTI of MPWT will ensure that full consultation, in a language spoken by the ethnic groups, and invite participation of ethnic groups are fully taken into account during preparation and implementation of subprojects, while respecting their current practices, beliefs and cultural preferences. The outcome of the consultations will be documented into the project documents. Section 5.3 provides more details on the consultation framework and procedures.

27. If the ethnic people conclude that the project will be beneficial, or non-harmful to their way or life or cultural beliefs, and the adverse impacts are minimal measures and assistance will be developed based on consultation with ethnic groups and local LFNC. The community should also be consulted to ensure that their rights and culture are respected. The assistance may also include institutional strengthening and capacity building of ethnic villages and community groups working with the subproject.

### **Step 3: Reporting, Monitoring, and Documentation**

28. PIU/DPWT will keep all documents related to safeguard screening, consultation, and social assessment (if warranted) in the subproject file for possible review by DEPD/PTI and/or WB. ESD/PTI will monitor the implementation of the safeguard screening, quick social impact assessment, and consultation process of the subprojects periodically and include the results in the six month and annual monitoring reports. The WB supervision missions will periodically pay special attention to ensure that that the subproject affords benefits to vulnerable groups and ethnic minorities.

### **5.3 Consultation Framework for Ethnic Groups under EGDF**

29. The consultation framework aims to ensure that ethnic groups are well informed, consulted and mobilized to participate in the subprojects so that clarity could be provided regarding the potential benefits as well as potential negative impacts. Consultation with EG will be made during the preliminary screening process and the development and implementation of an EGDP if needed. Consultations with and participation of ethnic groups, their leaders and local government officials will be an integral part of the EGDP. Scope of the EGDP should include preliminary screening, social assessment, mitigation measures, development assistance, and monitoring (see Appendix 2) and DEDP/PTI will provide training to PIU/DPWT if preparation of an EGDP is needed.

30. Preliminary **Screening**: As mentioned above (Step 1) that safeguard screening form is provided in ESMF Annex 1. Specific procedure for consultation during the preliminary screening is highlighted as follows:

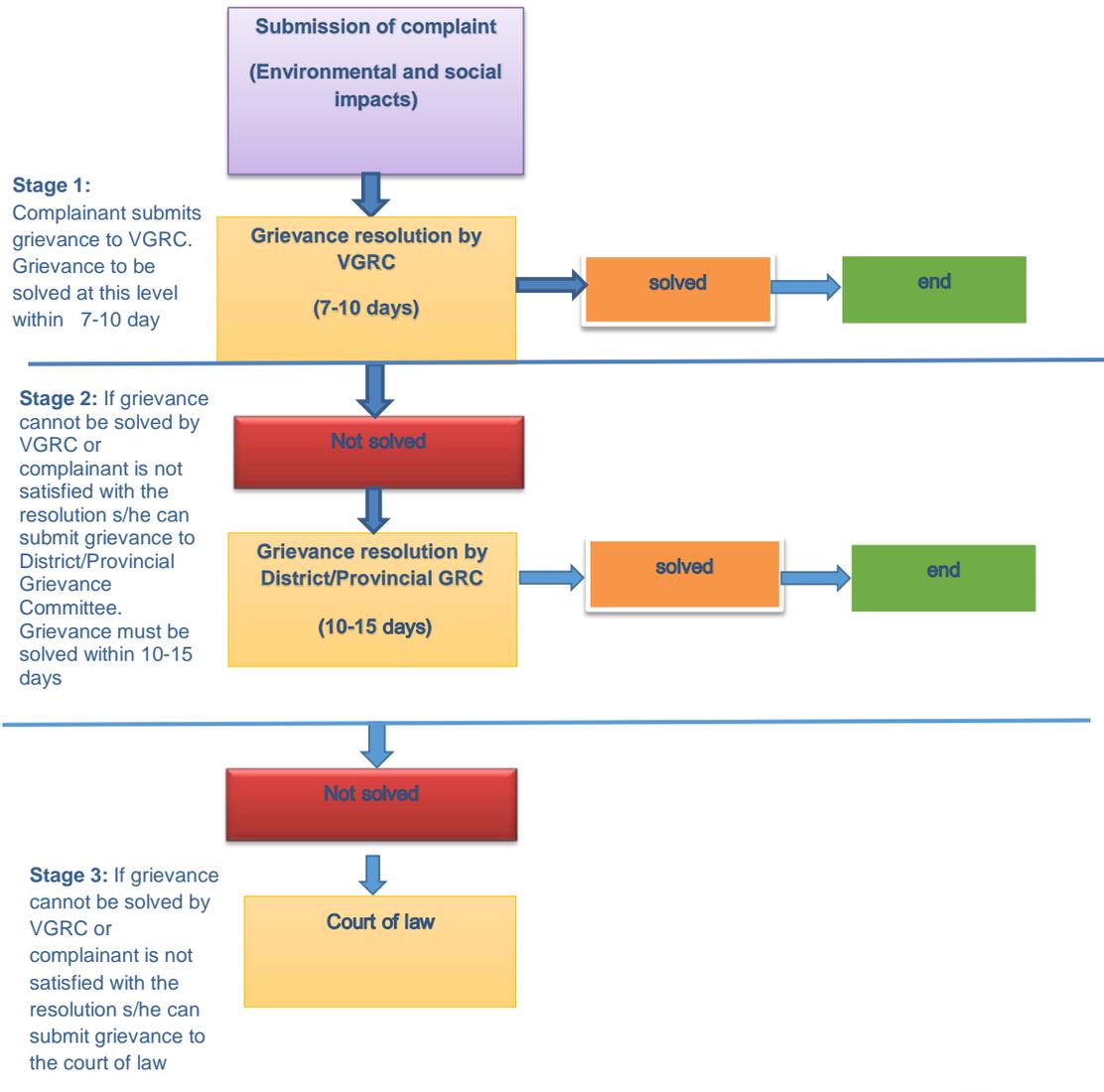
- All subproject areas which have ethnic group communities and are candidates for the Project support will be visited (at the time of first consultation with villagers) by DPWT and DEDP/PTI, relevant local authorities, and consultants (if any).
- Prior to the visit, respective DPWT and/or DEDP/PTI will send a letters to the communities informing their leaders that they will be visited by the respective DPWT and/or DEDP/PTI and local authorities and consultation will be conducted on the subproject. The letter will request that the communities invite to the meeting representatives of farmers, women associations and village leaders for discussion on the subproject. During the visit, the community leaders and other participants will present their views with regards to the subproject.
- At this visit, the social scientists (DEDP/PTI and/or consultants) will undertake a screening for ethnic minority population with the help of ethnic group leaders and local authorities. The screening will check for the following: (a) names of ethnic groups in the affected village; (b) total number of ethnic groups in the affected villages; (c) percentage of ethnic people in affected villages; (d) number and percentage of ethnic households along the zone of influence of the proposed sub-Project.

31. If the results show that there are ethnic group communities in the zone of influence of the proposed subproject, a social impact assessment will be planned for those areas.

#### **5.4 Grievance Redress Mechanism (GRM)**

32. Grievances related to environmental and social issues from ethnic groups that result from Project activities will be resolved by the Grievance Redress Committee (GRC) through the Project GRM presented in Figure 6.1 in general. However, the complainant also retains the right to bypass this procedure and can address a grievance directly to the DEDP/PTI Office or the National Assembly, as provided for by law in Lao PDR. At each level grievance details, discussions, and outcomes will be recorded in a grievance logbook. The status of grievances submitted and grievance redress will be reported to DPWT management through the monthly report.

Figure 1-1 GRM Process



33. The communities and individuals who believe that they are adversely affected by a WB supported project may submit complaints to existing project-level grievance redress mechanism or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaints to the WB's independent Inspection Panel which determines whether harms occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at anytime after concerns have been brought directly to the WB's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit [www.worldbank.org/grs](http://www.worldbank.org/grs). For information on how to submit complaints to the World Bank Inspection Panel, please visit [www.inspectionpanel.org](http://www.inspectionpanel.org).

## **5.5 EGDF Consultation and Information Disclosure**

34. The EGDF has been developed as part of the ESMF preparation and is an annex to the ESMF. The draft EGDF is being reviewed by DWS and uploaded on the MPWT websites. The final EGDF will be disclosed in the MPWT websites after WB clearance.

## Appendix 1: Summary of Ethnic Communities in the Project Provinces

Background on the four Project provinces are provided in the ESMF Annex 5 and information regarding ethnic communities and ethnic groups are briefly presented in this appendix. Map below show locations of the provinces and key ethnic groups known to be present in the provinces.

Xiengkhouang	Houphan	Oudomxay	Phongsaly
			
Khmu, Hmong.	Hmong, Khmu, Lao Phong, Singmoun, lumien or Yao, Moy or Meuang, and Hor.	Khmu, Akha, Ly, Yang, Hor, Mouteun, Leu	Khmu, Yao, Leu, Hor, Hmong, Akha, Yang, Bid, Lolo
2 communities Lao Tai (Tai Dam, Tai Daeng, Phuan), Khmu, and Hmong.	5 communities Lao Tai including Tai Dam, Hmong, Khmu, Phong,	2 communities comprising <u>Khmu Lao Loum</u> , <u>Akha</u> , Mouteun	4 communities with independent language and culture identity: Khmu, Akha, Lao Lum and others.

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Box A6.1 Key characteristics of main ethnic communities

- *Tai Dam*: The Tai Dam migrated from northern Vietnam to Laos 80–300 years ago. They are not Buddhists, instead they practice a form of ancestor and spirit worship. Tai Dam is well known producers of fine quality silk and cotton textiles and many women export directly to markets in Japan and the USA. Old Tai Dam women still wear the traditional blue indigo cotton shirt, skirt and a black turban woven with colored patterns. They produce rice alcohol, called 'lao lao', that is consumed socially and used for ritual purposes. Tai Dam settles in upland valleys near streams and irrigable and accessible plains scattered among Lao and Phuan villages. They built rectangular symmetric houses on piling, foot pounder and rice granary are under the house. The villages are composed of 15–60 houses and are not fenced. The people mainly live on wet rice, vegetables, poultry, weaving, sewing and hunting.
- *Khmu*: Being part of the Mon-Khmer branch of the Austro-Asiatic linguistic family, the Khmu present one of the largest ethnic groups in Laos. They settled in the area several thousand years ago. The Khmu did a rapid acculturation and there is now little in their clothing that distinguishes them from the surrounding Lao, although they speak a completely different language. Khmu houses are built on stilts; each village has a communal house where men gather for political discussions, or work together on basket making and other crafts. Like many ethnic groups in Lao the Khmu practice their own form of animism. The Khmu are well-known for their skill at making baskets, fish traps, and other objects from bamboo. Their material culture, their tools, utensils, baskets and netbags reflect their continued reliance on the forest. Growing rice, hunting, gathering forest products and producing handicrafts provide some cash income. Take a taste of their famous brew 'lao hai'(jar alcohol) while visiting one of the many Khmu villages.
- *Hmong*: The Hmong present 6-10% of the total population of Laos and remain most numerous and concentrated in the east of XiengKhuang. In the province the White Hmong, the Striped Hmong and the Green Hmong can be distinguished. The easiest way to differentiate these groups is by looking at the women's dress. Hmong live in forested mountains between 800 to 1,500 meters of altitude and in Laos they are categorized as Lao Soung -the highland people, although today there are a more and more villages located in the low lands. Hmong live in villages ranging in size from 15 to over 60 houses. They are not fenced and organized by clan. The rectangular houses are beaten on soil, have one room without windows. The walls are made of vertical wood planks and bamboo and a thatch roof. Hmong are known for their knowledge of the forest, herbal medicines and expertise in raising animals. Their agricultural system is based on rain fed slope cultivation with slash and burn techniques. They live on ordinary rice, corn and vegetable production, swine and poultry, gathering, hunting, embroidery and basket work. Their religion is a form of shamanistic animism with cult of ancestors and spirits, and belief in three souls. Certain spirits protect the people within the village boundaries while others maintain their influence over the plant and animal kingdom outside the village.

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- *Akha*: The Akha originally settle in the Kuaichao and Yunan, which are provinces of China. After moving down to the southern part of Yunan, they later moved to Va and Xiengtung districts of Burma, and then to Lai Chao district of Vietnam. Only later did they settle in the mountainous areas in northern Laos during the last 200 years. The total population of Akha in Laos is about 66,108 people, where 33,000 are women. This is 1.4 percent of Laos' total population based on the second population census 2015. The Akha call themselves "Akha" while other ethnic groups call them "Kor or lkor". However, the preferable name and also the official name is "Akha Ethnic Group". There are many sub-group of Akha, namely Chichor, Pouly, Pana, Fe, Ooma, Nukui, Luna, Eupa, Chipia, Mochi, Yaeu, Kher, Mutern, Mamouang, Poukuang, Pilou, Pisor, Pousang and Kongsaad. The Akha language is in the China-Tibetan group of languages and is placed on the branch of the Tibetan-Myanmar languages. Akha has no written alphabet. The Akha heavily believe in spirits and it is not easy for them to give up this tradition, as their belief in spirits is strongly ingrained in their culture. They believe spirit are both "good" and "bad". House and village spirit are believed to be "good" as they represent spirits of of their ancestors who look after their family members. Trees, forests and rivers, spirits are considered bad spirits. The bad ghost may cause them sickness and illness.

## Appendix 2: Rapid Social Assessment and Preparation of EGDP

1. As mention in the main text that if the safeguard screening and preliminary consultation suggested that an EG community is present in the subproject area, preparation of an Ethnic Groups Development Plan (EGDP) will be required. This appendix provides scope and content of the EGDP which should comprise Scope of the EGDP should include preliminary screening, social assessment, mitigation measures, development assistance, and monitoring. Below provides scope of these features.

### Preliminary Screening

2. All subproject areas which have ethnic group communities and are candidates for the Project support will be visited (at the time of first consultation with the villagers) by DPWT and DEDP/PTI, relevant local authorities, and consultants (if any). Prior to the visit, respective DPWT and/or DEDP/PTI will send a letters to the communities informing their leaders that they will be visited by the respective DPWT and/or DEDP//PTI and local authorities and consultation will be conducted on the subproject. The letter will request that the communities invite to the meeting representatives of farmers, women associations and village leaders for discussion on the subproject. During the visit, the community leaders and other participants will present their views with regards to the subproject.

3. At this visit, the social scientists (DEDP//PTI and/or consultants) will undertake a screening for ethnic minority population with the help of ethnic group leaders and local authorities. The screening will check for the following: (a) names of ethnic groups in the affected village; (b) total number of ethnic groups in the affected villages; (c) percentage of ethnic people in affected villages; (d) number and percentage of ethnic households along the zone of influence of the proposed sub-Project.

4. If the results show that there are ethnic group communities in the zone of influence of the proposed subproject, a social impact assessment will be planned for those areas.

### Rapid Social Assessment

5. A rapid social assessment (SA) will be undertaken by the social staff of DEDP//PTI and/or consultants. The SA will gather relevant information on the following: demographic data; social, cultural and economic situation; and social, cultural and economic impacts (positive and negative) as followings:

- *Information will be gathered from separate group meetings:* ethnic village chiefs; ethnic men; and ethnic women, especially those who live in the zone of influence of the proposed work under subproject. Discussions will focus on subproject impacts, positive and negative; and recommendations for design of subproject.
- If the SA indicates that the potential impact of the proposed sub-project will be significantly adverse or that the ethnic community rejects the project, the subproject will not be implemented in that locality; no further action is needed in this case.
- If the ethnic group supports the subproject implementation an EGDP will be developed to address any concerns or negative impacts by the proposed subprojects. However, if the concerns are similar to those raised by other groups

of people (such as compensation and typical impacts due to construction and/or works implementation) and the mitigation measures can be incorporated into mitigation measures using other safeguard instruments such as resettlement action plan (RAP), specification for contractor (ECoP), preparation of EGDP will not be necessary.

### **Ethnic Groups Development Plan (EGDP)**

6. The EGDP will consist of a number of activities and will include mitigation measures of potentially negative impacts, modification of subproject design, and development assistance. Where there is land acquisition in ethnic minority communities, the Project will ensure that their rights will not be violated and that they be compensated for the use of any part of their land in a manner that is culturally acceptable to them. The compensation and rehabilitation will follow the Resettlement Policy Framework (RPF) of the Project. An EGDP will include:

- legal Framework
- baseline data;
- land tenure information;
- local participation;
- technical identification of development or mitigation activities;
- institutional arrangement;
- grievance mechanism and disclosure arrangement;
- implementation schedule;
- monitoring and evaluation; and
- cost and financing plan.

7. The EGDP will also provide evidence that the results of consultations have been taken into account.

### **Implementation Arrangement and Grievance Mechanism**

8. DEDP/PTI and/or consultants will also be responsible for training respective DWPT or local authorities to undertake the work of consultation, screening, social impact assessment, analyses and preparing EGDPs. DWPT and Nam Saat of individual subprojects and local authorities are responsible for implementing EGDP (arrange adequate staff and budget). The Grievance Redress Committee will be responsible for implementation of the subproject grievance mechanism. The EGDP will also describe how different grievance mechanisms (i.e. general project-level grievance mechanism and EG grievance mechanism) will work together, if appropriate.

### **Monitoring**

9. Implementation of the EGDPs will be regularly supervised and monitored by the DEDP/PTI of MPWT. The findings and recommendations will be recorded in quarterly reports and to be furnished to the WB.

10. If warrant, an independent agency which would be used by MPWT to undertake external monitoring and evaluation of the implementation of resettlement action plans for the Project will also be tasked with monitoring the activities for EGDP. While, the external





**(A3.2) Monitoring and Evaluation Forms****From A3.1 Social Monitoring Form –to be completed by PIU/DPWT**

Province:	District:	Location – sketch map
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					attached ( )	
					YES	NO
Subproject Name:		Subproject No:				
<b>Type of Monitoring ( ):</b>						
Regular		Periodic		Monthly/Quarterly		Annual/semi-annual
No	Activities	Implementation			Comments	
		Good	Satisfactory	Poor		
1	<b>Institutional and facilities provided</b>					
	Setup steering Committee responsible for (resettlement, negotiation, social/ethnic development etc.)					
	Vehicle and equipment provided					
2	<b>Capacity building</b>					
	Training on resettlement and compensation					
	Training on negotiation (Conflict Solving)					
	Training on public participation, consultation and information dissemination					
	Training on Social and Ethnic Development					
	Other please specified					
3	<b>Implementation of A/RAP</b>					
	Compensation and Payment					
	Relocation structures (House, shop... )					
	Compensated for agriculture land					
	Compensated for economic trees and crops					
	Reallocated new land for effected people					
	Issued land title for resettle people					
	Implementation following overall RP					
4	<b>Dissemination/public hearing and participation</b>					
	Dissemination od project information (by					

	Poster, Radio, TV and other match medias				
	Organized consultation workshop with effected people				
	Other consultation workshop.....				
5	<b>Implementation of Social Development Plan</b>				
	Implementation of earning income and Job restoration plan				
	Promoting Gender perspective				
	Assist and restore of vulnerable people/household				
6	<b>Implementation of Ethnic Development Plan</b>				
	Promoting/ providing Job opportunities, income and productivities of ethnic people				
	Provide Subsidies and special assistance to effected of ethnic household				
7	<b>Restoration and Maintain of effected properties</b>				
	Maintaining of public infrastructures (Spring water, water supply, electricity, telephone, etc.)				
	Maintaining of community access road, drainage, diversion road etc.				
	Avoid effected on cultural heritage, temple, cemetery...				
<b>Detailed description of observations and comments (add sheets if required)</b>					
	<b>Distributed to</b>	<b>Yes</b>	<b>No</b>	<b>Date</b>	
	MPWT -DEDP/PTI				
	MPWT-DWS				
	DPWT – ESU				
	MONRE/PONRE				
	Others (list below)				
<b>Social Monitoring Form compiled by:</b>					

Name:		Designation:					
Signature:		Date:					
<b>Social Monitoring Form verified by:</b>							
Name:		Designation:					
Signature:		Date:					

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**Form A3.2 Sample of Monitoring Report –To be completed by DEDP/PTI**

**Project Location Map**

- I. Introduction:
  - Project background
  - Project implementation
- II. Objectives and Expectations
- III. Monitoring Team
  - Participants and Organizations Date and Place of Visited
- IV. Face finding
  - 4.1 Work progress
    - Implementation of Resettlement and Compensation
    - Work progress from previous visited (Example: Clearing, Construction Camp, Borrow Pit, Stockpile, etc.)
    - Plan for Next Month/Quarter
  - 4.2 Safeguards implementation.
    - Compliant/Non Compliant with ESMP/ECoP
- V. Recommendation
  - Suggest /Recommend (corrective and preventive actions) for non compliant issues

**APPENDIX 1: ENVIRONMENTAL AND SOCIAL ALIGNMENT SHEET FOR ...  
SUBPROJECT**

Date of visited	Location	Figure/Picture	Finding/ Issues	Recommend the corrective action

**Form A3.3 Impact Evaluation Form –To be completed by DEDP/PTI**

Province		District		Location-sketch map attached ( )		
Subproject Name		Subproject No:		<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>Type of impact evaluation (√)</b>						
<input type="checkbox"/> Less than 1 year			<input type="checkbox"/> More than 1 year			
<input type="checkbox"/> Project closure			Other.....			
No.	Description	Yes			No	Comments (add extra sheets)
		L	M	H		
<b>I.</b>	<b>Land acquisition &amp; resettlement issues</b>					
1.1	Land acquisition for water intake					
1.2	Land acquisition for water treatment plant					
1.3	Land acquisition for water reservoir					
1.4	Land acquisition for project districts offices					
1.5	Relocation of structures					
1.6	Loss of public properties or infrastructure					
1.7	Other please specify					
<b>II.</b>	<b>Income and living standard</b>					
2.1	Loss of income and living standard					
2.2	Loss of occupation and business activities					
2.3	Other please specify					
<b>III.</b>	<b>Ethnic issues</b>					
3.1	Loss of income and living standard of the ethnic people					
3.2	Impact on health and education					
3.3	Other please specify					
<b>IV.</b>	<b>Severance and social disruption</b>					
4.1	Destruction of sealing in the archeological, historical, cultural values					
4.2	Other please specify					
<b>V.</b>	<b>Mobilization, Establishment and Operation of</b>					
<b>5.1</b>	<b>Work force</b>					
	• Unrest or dissatisfaction of local communities					
	• Participation opportunities in project activities and benefits					
	• Unrest or dissatisfaction of local communities resulting from cultural difference with labor crews					
	• Other please specify					
<b>5.2</b>	<b>Equipment</b>					
	• Traffic					
	• Introduction of plants and animal pest					
	• Other please specify					
<b>5.3</b>	<b>Labor camp</b>					
	• Cutting of trees for camp building and use as fire wood for cooking and heating					
	• Water pollution from sewage and waste disposal					
	• Disease risks to workers					
	• Impact on local resources including wide life, fish... due to demand for food and fuel					
	• Other, please specify					

<b>VI</b>	<b>Land clearance and construction</b>								
6.1	• Sedimentation and turbidity impacts in receiving waters								
6.2	• Spoil disposal leading to loss of habitat and sedimentation								
6.3	• Disturbance of existing property frontage, track or public utilities								
6.4	• Noise, dust effects								
6.5	• Destruction of sealing in the archeological, historical, cultural values								
6.6	• Other, please specify								
<b>VII.</b>	<b>Transport of materials</b>								
7.1	Dust								
7.2	Traffic hazard								
7.3	Other please specify								

Distributed to	Yes	No	
MPWT -DEDP/PTI			
MPWT-DWS			
DPWT			
Nam Saat/MoH			
MONRE/PONRE			
Others (list below)			
<b>Monitoring Form compiled by:</b>			
Name:		Designation:	
Signature:		Date:	
<b>Monitoring Form verified by:</b>			
Name:		Designation:	
Signature:		Date:	

**Form A3.4 Environmental and Social Final Report (Use for Project Closure, –To be completed by DEDP/PTI )**

Province:	District:	Location – sketch map attached ( )	
		YES	NO
Subproject Name:	ProjectNo:		
<b>TYPE of works/activities ( )</b>			
New construction	Rehabilitation		
Project Categorization:			
Safeguard documents prepared (list):			

### 1. Activities Realized

With date \_\_\_\_\_, one came to realize the final review of the environmental and social aspects corresponding to the activity \_\_\_\_\_, with the intention of verifying the fulfillment of the Measurements of Mitigation contemplated for the project, as well as of verifying if other negative impacts have appeared during the period of time of execution of the work. In this sense there was content the commission integrated by the following persons;

No.	Name	Institution	Responsibility	Contact Number	Signature
1					
2					
3					
4					

### 2. Background

In this section must capture the record of the case in accordance with dates, narrating of summed up form the problem to that one attends and enumerating the recommendations done in previous opportunities?

### 3. Results of the Examination

Here it is necessary to describe in detail, the conditions in which developed the measurements of mitigation, the grade of fulfillment and his current state, exhibiting when it is necessary, and the reasons on which the measurements have not been completed. In order to visualize the above mentioned information, it is recommended fulfill the following evaluation table:

No.	Mitigation measures	Accomplishment			Time to accomplishment	Observations
		Yes	No	%		

					of the measures	

#### 4. Conclusions

Based on the examination and the results of the evaluation, prepare for themselves the conclusions of the fulfilment of the measurements of mitigation and established recommendations.

Distributed to	Yes	No	Date
MPWT -DEDP/PTI			
MPWT-DWS			
DPWT			
Nam Saat-MoH			
MONRE/PONRE			
Others (list below)			
<b>Environmental and social Final Report compiled by:</b>			
Name:		Designation:	
Signature:		Date:	
<b>Environmental and social Final Report verified by:</b>			
Name:		Designation:	
Signature:		Date:	

## Appendix 4: . Implementation and Capacity Building (Extracted from sections 11 and 10 in the ESMF)

### Implementation

1. The implementation of the EGDF will follow the Project Implementation arrangement. The project implementing agencies will be MPWT, MoH, and the four project provinces. At central level, MPWT will be responsible for overall implementation and effectiveness, coordination with concerned ministries, including Ministry of Finance and Ministry of Planning and Investment, to process necessary legal amendments or project restructuring to facilitate project implementation, enhance disbursement, and improve the efficiency of the use of IDA.

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2. WSSP is joining implementing by MPWT and MoH. MPWT- is the central agency responsible for coordination with concerning stakeholders and overall project implementation.
  3. DWS/MPWT - is core of implementing agency of the Project. The Project Management Unit under DWS will work closely with the national and international consultants for preparing the ESMP, ARAP/RAP, EGDP in coordination with PIUs. In addition, PMU will also conduct consultations and make local authorities and target communities understand and follow safeguard policy; and lead PUI to monitor project activities.
  4. DEDP/PTI/MPWT- will support DWS in subproject screening, annual external monitoring of compliance with safeguard policy in this EGDF.
  5. MoH - is part of the project responsible for implementing their respective activities under Components 1 and 2 . Hence, MoH assign Nam Saat/DoH to coordinate with PIU/DPWT to support community water supply and hygiene. The activities amongst others include (i) capacity building for sustainability of community water supply and support for Component 1 implementation; (ii) guidelines for self supply for remote villages, (iii) guidelines for sanitation and SBCC, (iv) district-wide sanitation plans; (v) strengthening of sanitation supply chains; (vi) water quality monitoring system, (vii) sector M&E system; (viii) national awareness campaigns; (ix) orientation and training of provincial and district staff; (x) rolling out CLTS curriculum at schools and universities.
  6. DPWT – will take a lead responsible role at provincial level to supervise E&S consultant and PMU to conduct screening process, review and endorse sub-project proposal, monitor compliance of subproject proposal implementation. For sub-project proposal that required IEE, DPWT will communicate with PoNRE to set out line and timeframe for IEE approval process to ensure the subproject will be completed within the project closing date. DPWT together with OPWT and PMU as well as E&S will conduct regular meeting with PoNRE and other line agencies related to subproject implementation to receive feedback if any recommendation to support the project implementation or any complaint arise due to the sub-project implementation and provide way to resolve the issues.
  7. NPSEs - will be responsible for the technical design, contracting and supervision of water supply works. It will monitor together with the site engineer supervision consultant contractor 's compliance with the ECoP/ESMP.
  8. OPWT – will take a lead responsible role at district level to supervise E&S consultant and PMU to conduct screening process, review and endorse subproject proposal, monitor compliance of subproject proposal implementation. For subproject proposal that required IEE, OPWT will communicate with PoNRE to set out line and timeframe for IEE approval process to ensure the subproject will be completed within the project closing date. OPWT together with DPWT and PMU as well as E&S will conduct regular meeting with PoNRE to receive feedback if any complaint arise due to the subproject implementation and provide way to resolve the issues.
  9. E&S Consultant- E&S consultant will work closely with PMU to provide support in E&S screening and prepare appropriate safeguard instrument. E&S consultant will also supervise and monitor the implementation of the ECoP.
  10. PMU - Project Management Unit under DWS will take a coordinator role and provide technical support to E&S consultant to ensure safeguard compliance of sub-project. PMU will supervise the implementation of the ECoP, ESMP, ARAP/RAP, and or EGDP and will contract qualified laboratory for the monitoring including laboratory testing of water and reporting. PMU will contact PoNRE to determine if the project implementation is meeting all specified ESMF, IEE and ECoP and related social safeguard requirements. PMU will perform

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supervision site visit during construction works to confirm the ECoP are being adequately implemented.

### Capacity Building and Training

11. Awareness creation, training and sensitization will be required for personnel of the following institutions:
  - PMU/DWS, PTI
  - PIU/DPWT, NPSE, OPWT
  - Nam Saat/DoH
  - Nam Saat/District Health Office
  - VDC members e.g. village leaders, women's Unions, youth unions, leaders of ethnic groups,
  - Contractors managers and personnel
12. Training will concern:
  - Environmental and social impact screening process and using ESMF screening forms/checklist
    - Screening process
    - Assignment of environmental categories
    - Rationale for using Environmental and Social Checklists
    - The importance of public consultations and participation of households in the screening and planning process
    - How to monitor ESMF implementation
  - Safeguard policies, procedures, and sectoral guidelines
    - Review and discussion of national environmental policies, procedures, and legislation
    - Review and discussion of the Bank's safeguard policies
  - Selected topics on environmental protection and social safeguards
    - Air, water, and soil pollution
    - Health and safety
    - Waste management and disposal
    - Natural resource utilization
    - Selection of viable, small and medium-scale water supply systems
    - Resettlement and compensation
    - Ethnic development plan
    - Negotiation (Conflict Solving)
    - Public participation, consultation and information dissemination
13. Selection of training courses should identify potential guidelines or good practice documents on environmental management for the key sectors to be financed. World Bank environmental safeguard specialists will be requested to provide periodic supervision and training relative to the identification and management of environmental risk in project evaluation and implementation.
14. During the implementation, further capacity development need assessment will be carried out and the capacity building program will be redesigned according to the need and targeted improvement in project implementation.