Environmental and Social Management Plan (ESMP)

For the Programme
Scaling up the implementation of the Lao PDR Emission Reductions Programme through improved governance and sustainable forest landscape management (Project 2)

prepared by the

GIZ

for Submission to the

Green Climate Fund

Version 3 (September 2022)

Abbreviations

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

PAFO	Provincial Office for Agriculture and Forestry
PLUP	Participatory Land Use Planning
PMU	Project Management Units
PONRE	Provincial Office for Natural Resources and Environment
PPIO	Provincial Planning and Investment Office
PPMU	Provincial Project Management Unit
PRO	Provincial REDD+ Office
ProCEED	Promotion of Climate-related Environmental Education (a GIZ project)
PRTF	Provincial REDD+ Task Force
PS	Performance Standards (IFC safeguards)
PSAP	Promotion of Sustainable Agricultural Practices
REDD+	Reducing Emissions from Deforestation and Forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries
SEDP	Socio-economic Development Plans
SFM	Sustainable Forest Management
tCO2eq	Tonnes of Carbon Dioxide equivalent
TF	Task Force
TOT	Training of Trainers
TWG	Technical Working Group
UNI	Unintended Negative Impacts
UXO	Unexploded Ordnance
VEC	Valued Ecosystem Component
VFMA	Village Forest Management Agreements
WB	World Bank

Contents

1. Introduction to the ESMP 6
2. ESMP Structure 6
3. Project Standards and Safeguards 7
4. Potential Unintended Negative Impacts and External Risks 9
5. Village and Community Focus 11
6. Institutional Implementation Arrangements - Roles and Responsibilities 11
6.1. GoL Counterparts 11
6.2 GIZ 12
6.3. NGOs and CSOs 13
7. ESMP Implementation 13
7.1 ESM Team 13
7.2. Training Workshops 18
8. ESMP Budget 19
8.1. Staffing and Consulting Costs for Project 2 (in EUR) 19
8.2. Activity and Material Costs (in EUR) 19
9. ESMP Actions 21
9.1. ESMP Action 1: ESMP Monitoring and Implementation 21
9.2. ESMP Action 2: ESMP-related Capacity Building 26
9.3. ESMP Action 3: Free, Prior and Informed Consent (FPIC) 29
9.4. ESMP Action 4: Social Inclusion 33
9.5. ESMP Action 5: Land Use Issues, Land acquisition and Involuntary Resettlement: 39
9.6. ESMP Action 6: Biodiversity 43
9.7. ESMP Action 7: Health and Safety 47
9.8. ESMP Action 8: Risks related to adaptation and mitigation of climate change 51
9.9. ESMP Action 9: Grievance Redress Mechanism (GRM) 55
Annexes: 61
Annex 1: Table of the measures toward ethnic groups with the aim to avoid, minimize and mitigate negative impacts and enhance positive impacts and opportunities 61
Annex 2: GRM Explanation in Lao Language 67
Annex 3: Grievance Redress Mechanism for I-GFLL Project 68
Annex 4: Protocol of UXO Site and Safety Brief 69
Annex 5: Checklists for environmental and social screening 70
Annex 6: Chance Finds Procedure 75

List of Tables

Table 1: Safeguards Policy Triggered and Mitigation Actions

Table 2: UNI and External Risks

Table 3: Staff Responsibilities

Table 4: Staffing and Consulting Costs for Project 2

Table 5: Activity and Material Costs

Table 6: Overview of ESMP Actions

Table 7: Safeguards monitoring tools

Table 8: Trainings

Table 9: Grievance Redress Mechanism process

List of Annexes

Annex 1: Table of the measures toward ethnic groups with the aim to avoid, minimize and mitigate negative impacts and enhance positive impacts and opportunities

Annex 2: GRM explanation in Lao language

Annex 3: Grievance Redress Mechanism for I-GFLL Project

Annex 4: Protocol of UXO Site and Safety Brief

Annex 5: Checklists for environmental and social screening

Annex 6: Chance Finds Procedure

1. Introduction to the ESMP

This Environmental and Social Management Plan (ESMP) is for the "Scaling up the implementation of the Lao PDR Emission Reductions Programme through improved governance and sustainable forest land management (Project 2)". The programme's main objective, an ambitious one that entails paradigm shifts in a number of interrelated sectors, is as follows: "*To support the Government and people of Lao PDR transition to sustainable and climate resilient management of forests and landscapes at scale. This will reduce approximately 11.7 million tCO2eq and directly increase the resilience of more than 270.000 villagers and 2,000,000 ha of ecosystems over the 7-year implementation period of Projects 1 and 2.*"[1] The programme's goal is to provide the **impetus** for a systematic turnaround in land use, land use change and forestry (LULUCF) and **establish** a new and viablemanagement model (or models) for the country's forests and landscapes.

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

The ESMP ensures that throughout the Project implementation, the Safeguards Team continuously screens all of the activities proposed under the project and monitors potential unintended environmental and social impacts properly and sufficiently as required. Where impacts and potential impacts are identified and if these are unavoidable, suitable mitigation measures will be properly planned so as to adequately compensate for residual impacts and to provide for restoration. Feedbacks from stakeholders were collected directly through the field consultations conducted for this update of the ESMP. GIZ and programme partners will disclose this ESMP online so that people are easily able to gain access to it. A Grievance Redress Mechanism (GRM) is integrated as an action in this ESMP in order to collect grievances expressed about implementation of the project if they arise.

The ESMP was originally drafted in the context of Project 1 Feasibility Study and used by the Safeguards Team for implementation. During the Project 2 development process, this update was drafted to reflect stakeholder feedback, lessons learned from Project 1, and adjustments in project design under Project 2. It will take effect for Project 2, upon approval by the GCF. In order to improve readability of this document, the term "project" will refer to "project 2".

2. ESMP Structure

This ESMP closely accompanies the Environmental and Social Impact Assessment (ESIA, Funding Proposal – FP Annex 6a), the Ethnic Group Development Plan (FP Annex 6d), the Feasibility Study (FP Annex 2a) and the budget for Project 2 (FP Annex 4). The ESMP will firstly set out the project standards and safeguards that the ESMP addresses, and then differentiate between the unintended negative Impacts and the external risks associated with the project that the ESMP Actions meet. The roles and responsibilities of the Environmental and Social Management Team (Safeguards Team), GIZ, Government of Laos (GoL) counterparts and task-specific consultants that are needed for implementation, including organizational capacity requirements in order to support the ESMP, are described and a general ESMP budget is provided.

[1] Funding Proposal for the *Programme Scaling up the implementation of the Lao PDR Emission Reductions Programme through improved governance and sustainable forest land management (Project 2)* – 16/04/2022.

This updated ESMP formulates nine actions, divided into "Systemic Actions" (1 and 2), followed by the "Technical Actions" (3-8) and complemented by the Grievance Redress Mechanism (GRM) (9):
The overall function of Action 1 "Implementation and Monitoring" is to make sure that all tools are in place, which **guarantee** that all stakeholders trained in the context of Action 2 "Capacity Building" are able to carry out the "Technical Actions" 3-8 and the Action 9 (GRM). Thereby Action 1 includes the description of the Safeguards and Gender (monitoring) system.

Changes made to the actions within this version of the ESMP (as compared to the original ESMP) result from lessons learnt from the implementation of the ESMP by the Safeguards Team, in addition to adjustments in the design and content of Project 2**.** Lessons learnt from Project 1 included that there is a need to better distinguish "Systemic Actions" from "Technical Actions" and from those related to the GRM, as their internal logic is fundamentally different. The contents of the now "Systemic Actions" had previously been spread over many different actions. In this ESMP they are now **systematically merged** into Actions 1 and 2. Furthermore, the GRM had previously not been a separate action and now it is. Similarly, the Free, Prior and Informed Consent (FPIC) process is now a standalone action, emphasizing its importance in the project cycle. Also "Land Use Issues, Land acquisition and Involuntary Resettlement" is a separate action, given its **significance** in this project. The former Business Partner Screening action has been integrated into Actions 1,4,5,6 and 7 (also see table 1), as it constituted a template that is used for different purposes, and therefore it was decided it was not effective to have it as a standalone action. "Strengthening the EPF's Safeguards Capacity" is not mentioned as specific area of support in Project 2 (see Activity 1.1.1 in the Funding Proposal) and therefore the EPF's Safeguards Capacity is not part of Project 2 ESMP.

Also, **within the Actions, the structure** (or 'logic') of this updated ESMP has been changed. The new logic is explained in detail in Action 1.

Safeguards Team and implementation of the ESMP

The ESMP **requires** a team of experts in various fields to make up a Safeguards Team that will support the development, capacity building, training, implementation, monitoring and reporting needed to carry out the Actions in this ESMP**.**

The Safeguards system is **mainstreamed** into the Project's operations and therefore carried out continuously**.** Synchronization of project activities to the ESMP (i.e., ESMP mainstreaming into workshops, trainings and on-site activities) will be essential.

3. Project Standards and Safeguards

This ESMP has been drafted with the guidance provided by the findings and interpretations of the project's ESIA, which was informed by the GCF Environment and Social Safeguard Policy, for Project 1 approved in March 2018 and for Project 2 prepared in early 2022, the GCF's Indigenous Peoples Policy, and corresponding GIZ policies and safeguard standards. The findings of the readiness activities of the Forest Carbon Partnership Facility (FCPF) were also taken into account. The ESMP therefore has extensively **examined** the International Financial Cooperation (IFC)'s Performance Standards on Environmental and Social Sustainability (PS), GIZ's Sustainability Policy and Safeguards + Gender Management Systems, World Bank (WB)'s Safeguards Policy and the Lao national safeguards policies, laws and regulations.

These policies **reflect** the broad consensus on GCF commitments to achieve environmental and social benefits and to avoid harm in all the activities that are undertaken and supported as well as the importance to clearly convey these to stakeholders and communities in order to reach consensus around the programme. **The GCF safeguards policy articulates** how GCF integrates environmental and

social considerations into its decision-making and operations to effectively manage environmental and social risks and impacts and to improve outcomes.

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

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

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

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

Table 1: Safeguards Policy Triggered and Mitigation Actions

GIZ Policy / Safeguard	Risk as per GIZ E&S checklist	Associated IFC PS	Specific Mitigation Actions from ESMP
GIZ Sustainability Policy	Medium	PS1: Assessment and Management of Environmental and Social Risks and Impacts	ESMP 1: ESMP Implementation and Monitoring ESMP 2: Stakeholder's capacity buildings: ESMP 3: FPIC ESMP 4: Social Inclusion
GIZ Safeguard: Environment	Medium	PS3: Resource Efficiency & Pollution Prevention (not triggered) PS4: Community Health, Safety, and Security PS6: Biodiversity Conservation & Sustainable Management of Living Natural Resources (risk: low)	ESMP 3: FPIC ESMP 6: Biodiversity ESMP 7: Health and Safety Partner Screening (integrated into Actions 1, 4, 5, 6 and 7)
GIZ Safeguard: Climate Change	Low	PS4: Community Health, Safety, and Security (low) n/a	ESMP 8: Risk Related to Climate Change Impacts
GIZ Safeguard: Conflict & Context Sensitivity	No		
GIZ Safeguard: Human Rights	Medium	GCF Indigenous People Policy (risk: medium) PS2: Labour & Working Conditions (risk:low) PS4: Community Health, Safety & Security (risk: low) PS5: Land Acquisition & Involuntary Resettlement (risk: medium) PS6: Biodiversity Conservation & Sustainable Management of Living Natural Resources (risk: low) PS7: Indigenous People (risk: medium) PS8: Cultural Heritages (risk: medium)	ESMP 3: FPIC ESMP 4: Social Inclusion ESMP 6: Biodiversity ESMP 7: Health and Safety
GIZ Safeguard: Gender	n/a	GCF Gender Policy (risk: n/a)	ESMP 3: FPIC ESMP 4: Social Inclusion

4. Potential Unintended Negative Impacts and External Risks

The ESIA (refer to Chapter 5) and Feasibility Study have identified a number of **potential risks,** which have been divided into Unintended Negative Impacts (UNI or ES risks), which are a potential direct result of project activities, and external risks that are caused by factors outside of project control or influence. The focus of this ESMP as per GCF and GIZ policies is on managing UNIs. External risks are usually addressed by the project's risk management framework and not further explored here. However, some external risks may have **interactions** with potential UNIs of the project and therefore require monitoring under the ESMP. These external risks have been selected and listed in the table below. In addition, GIZ's safeguards system routinely screens for external risks related to climate change.
These risks are summarized in the table below.

Table 2: UNI and External Risks

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

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

All identified potential risk have been **addressed** in this ESMP and although some of the identified risks

are clearly external, the project will need to **monitor** them in order to ensure that they do not impinge into project activities, and that if they do, there are suitable **mitigation measures** in place. An example of external risks potentially interacting with UNIs could be seen, for instance, in the context of using chemicals in agriculture. Even though the project will apply business screening practices, a bottom- up approach to agricultural development through the Promotion of Sustainable Agricultural Practices (PSAP) and promote Good Agricultural Practices, the "traditional" agricultural practices of the villagers in recent years is to use higheramounts of chemical pesticides and fertilizers. This may continue despite project activities and lead to environmental or human health impacts.

5. Village and Community Focus

All the main working areas of the Project are implemented in a participatory manner and **decisions are made at the village level (FPIC/PLUP/VFMP/PSAP)** therefore the "landscape-specificity" and the mainstreaming of the "local knowledge and understanding" are inherent to all activities of the project. The local level and detailed data collection mentioned in this section are actually what is collected and discussed on the spot with the beneficiaries when activities are being planned and / or implemented in the village.

6. Institutional Implementation Arrangements - Roles and Responsibilities

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

Coordination amongst all project partners and stakeholders will be key for successful implementation of the ESMP. Under the supervision of GIZ, the Environmental Protection Fund (EPF) will have an important role for channelling the project financing (grants) on behalf of the GCF and the German Ministry for Economic Cooperation and Development (BMZ) to local level project activities. The EPF will take over some of the ES-related responsibility, as appropriate to its capacities. GIZ produced a gap assessment report and a capacity needs assessment for the EPF, which has resulted in the ESMP action 2 on capacity building.

6.1. GoL Counterparts

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

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

At a district level, the District Project Management Unit (DPMU) receives **guidance** in **implementation** from the PPMU and the NPMU, but is itself ultimately responsible for engaging with communities to implement project activities. As such, the DPMU is the main contact with project communities within the 28 target districts. The ESM team is not directly in contact with the beneficiaries on a planned and regular basis. The GRM allows beneficiaries to contact the ESM team at all times and all grievances will ultimately reach the ESMP. Moreover the ESMP mainstreamed ESMP data collection into the project's database. But the DPMUs and implementors are the only stakeholder that is direct and planned regular contact with the communities.

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

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

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

- REDD+-specific bodies: National and Provincial REDD+ Task Forces, National and Provincial REDD+ Offices, and national TWGs;
- Ministry of Agriculture and Forestry (MAF): down to District, the key departments will be Department of Forestry, Department of Forest Inspection, Department of Village Forests and NTFPs, NPA-responsible Department, Department of Agriculture Extension and Cooperatives and DALAM;
- Ministry of Natural Resources and Environment (MONRE): down to District; including Department of Land;
- Ministry of Planning and Investment: down to District;
- Administrative Authorities: Provincial and District Governors' Offices, plus Village Authorities and Committees;
- Lao Front for National Development (LFND): Mass organization down to village level, often used to assist with local consultations.
- Lao Women's Union (LWU): Mass organisation down to village level, often used to assist with local consultations.
- Civil Society Organisation (CSO): including locally based farmer associations or cooperatives, or other community group that is not a part of the official government structure. The ESM team will work to identify these possibilities during Social Inclusion processes (See ESMP Action 1: *ESMP Monitoring and Implementation* and Action 4: *Social Inclusion*).

Some additional GoL counterparts will participate in specific actions as appropriate, these inputs are detailed in Section 9: Table of Actions below.

6.2 GIZ

GIZ is responsible for

1. Having the overall responsibility for the project and its activities vis-à-vis GCF (contractual)
2. Strengthening and complementing the project management structure (NPMU, PPMU and DPMU)

3. Hiring consultants and ESM Team project staff as indicated below
4. Ensuring ESMP is followed and updated
5. Managing and allocating budget including through the EPF and directly to a limited degree
6. Communicating ESMP actions to counterparts including GoL
7. Communicating ESMP actions externally according to the GCF environmental and social policy

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

6.3. NGOs and CSOs

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

- Represent NGO/CSO voices in the programme steering committee
- Participate meaningfully in FPIC and consultations
- Contribute to monitoring and evaluations and overall learning in the project

The project preparation team has **identified** the following NGOs and CSOs based on other projects' best practices including GIZ projects on FLEGT and on biodiversity conservation in Laos: Lao Women's Union (including at national, provincial and district-level); Village Focus International; The Centre for People and Forests (RECOFTC); FLEGT CSO Network – including the Green Community Alliance (GCA), theRural Research and Development Promoting Knowledge Association (RRDPA), the Association for Community Training and Development (ACTD), Lao Biodiversity Association (LBA), Maeying Houamjai Phathana (MHP), the Wildlife Conservation Association (WCA) and the Social Development Alliance Association (SODA); Association For Development Of Women And Legal Education (ADWLE), Community Development And Environment Association (CDEA), Green Community Development Association (GCDA), Gender Development Association (GDA), Lao Biodiversity Association (LBA), Maeying HounJai Phattana, Sustainable Agriculture And Environment Development Association (SEADA), Social Development Alliance Association (SODA) and Wildlife Conservation Association (WCA). Providing support for their work will be part of the community engagement the ESM Team will do with the DPMU at the beginning of the project.

7. ESMP Implementation

7.1 ESM Team

The ToR of the Safeguards Team as used in the procurement of Project 1 and adapted to the Project 2 context, is included below r. For Project 2, these ToR may need to be further adapted, depending on the framework conditions of the project team and other variables:

Scope of Work and Tasks

The Consultant shall undertake the below described **tasks**, which are structured along the following Working Areas, some of which are closely linked:

- Developing & Operating a Safeguards Monitoring Concept
- Implementing a Grievance Redress Mechanism
- Establishing & Operating the I-GFLL Website (*Implementation Governance, Forest Landscapes and Livelihoods Project*)
- Information and Knowledge Management

Working Area 1a: Develop Safeguards Monitoring Concept

Project 2 has a series of safeguards related documents, including the ESMP, ESIA, the Ethnic Groups Development Plan (EGDP), the Gender Action Plan, and the Gender Assessment. The ESMP, EGDP and GAP must be further detailed and applied to the project planning process. **Linking** these documents to the project planning process, and **creating** an **effective monitoring system** for that linkage, will ensure that the project's work does not do **harm** to the **vulnerable members** of the communities in which the project is active. The safeguards consulting team will develop a safeguards monitoring concept by accomplishing the following objectives:

- Outline a Safeguards Monitoring Concept derived from relevant project documentation, including the Environmental and Social Management Plan, the Environmental and Social Impact Assessment, the Ethnic Groups Development Plan, the Gender Action Plan, and the Gender Assessment
- Design an appropriate Safeguards Monitoring System for Component 2[2] (including Good Agricultural Practices, White List commodities, value chain approaches and agri-MSME screening)
- Identify and interpret the safeguards indicators
- Give clear suggestions for monitoring tools to measure the safeguards indicators
- Demonstrate a good understanding of the functional relationship between the ESIA, EGDP, GAP and the ESMP and how they will be taken into account in the safeguards system
- Show a sound approach for dealing practically with the large amount of safeguards requirements
- Demonstrate a willingness and ability to translate an 'ESMP Highlights' structure into Lao language, facilitating access to the Safeguards Monitoring Concept for non-English speaking counterparts, especially among Lao government stakeholders
- Identify key responsibilities for data collection and data management
- Include a clear approach for harmonizing and reconciling the safeguards frameworks and the M&E frameworks

Working Area 1b: Operate Safeguards Monitoring

Based on the development of Safeguards Monitoring system, the consultant will need to **support** the project staff, and relevant Government of Laos and (agroforestry and agricultural) private sector counterparts, to operate the safeguards monitoring system.

The consultant's tasks are to **facilitate** the introduction and operation of this monitoring system, including to

- Initial and ongoing Capacity building to Project Owners and PMUs on all levels on safeguards requirements
- Support to Project Owners and PMUs on all levels, and to the project owners to implement safeguards requirements
- Upgrade the ESMP annually at the institutional and landscape level
- Ensure the integration of safeguards requirements into the data-base as established by the I-GFLL M&E Team
- Screen incoming data for necessary quality levels, executing clear plans to improve data quality, accuracy, and relevance, as required

Working Area 2: Grievance Redress Mechanism

A **Monitoring** and **Evaluation System** needs to be **developed**, based on the Funding Proposal, the

[2] Note: Project 1 used the term 'outputs' instead of components. In order to ensure alignment with the GCF Integrated Results Management Framework and new Funding Proposal Template, the term 'component' is applied under Project 2. Outputs under GCF's IRMF are "*Changes delivered as a result of project/programme activities that contribute to the achievement of outcomes.*" – GCF. 2022. Guidance Note to support the completion of the IRMF elements of the revised funding proposal template for PAP and SAP, p. ii..

Master Budget and the Operational Manual. This M&E System is not only to **support** reporting, but to actively **support** project's steering and management. The system needs to include both, the component, output and the outcome levels of the project's operations.
Key tasks for the consultant regarding the Grievance Redress Mechanism will be to:

- Demonstrate a good understanding of the I-GFLL Grievance Redress Mechanism, based on the EPF Grievance Redress Mechanism
- Ensure that all relevant stakeholders are taught how to use the Grievance Redress Mechanism

Working Area 3a: Establish the I-GFLL Website

In addition to their safeguards monitoring responsibilities, the consultant team will be responsible for **establishing** the I-GFLL website, as well as **updating** and **consolidating** pre-existing websites, if relevant and appropriate.
In order to achieve this, the following tasks will be carried out:

- Show a linkage between the data from the Safeguards and Monitoring Systems and the I-GFLL website
- Clarify the purpose and potential users of the I-GFLL website
- Establish a good quality website, with technical solutions incorporated for design and hosting

Working Area 3b: Continuously Operate the I-GFLL Website

After establishing the I-GFLL website, the consultant team will be **responsible** for continually **operating** and **updating** the I-GFLL website with the relevant safeguards and project monitoring information, ensuring that information is available to all necessary stakeholders and external interested parties.
In order to continuously operate the I-GFLL website, the consultant will need to:

- Regularly update information on the I-GFLL website
- Develop a sound staffing concept to update the I-GFLL website and troubleshoot potential problems

Working Area 4: Information and Knowledge Management

As part of their work rigorously monitoring the project safeguards according to the necessary and agreed-upon frameworks, the consultant team will need to:

- Have well-developed and conceptualized filing practices
- Ensure a sound staffing concept so that good filing practices are put into place
- Train project stakeholders (PPMUs, NPMUs, DPMUs, etc.) in relevant database management concepts
- Train project stakeholders in MS Excel for day-to-day information management

Staffing and Qualifications

The staffing concept of the Assignment aims to ensure both, the development of the specified tools and approaches but also their implementation at the national level and in the 3 targeted provinces and 15 districts. Therefore will a number of assignments rather focus on concept development, while others support the implementation of the developed systems and require substantial travel.

Table 3: Staff Responsibilities, Qualifications, and Reporting Hierarchy

Position Name	Number of Positions	Key Responsibilities	Qualifications	Reporting Hierarchy
Team Leader	1	▪ Overall guidance of the Team ▪ Plan and Monitor Team members' progress ▪ Ensure that the objectives of the assignment can be fulfilled ▪ Ensure that all requirements of the project, the GIZ and the GCF are met in the Safeguards System and data-base ▪ Conceptually guide the team ▪ Develop the framework of the Safeguards System ▪ Develop the framework of the Data-Base System ▪ Liaison with the GIZ and the EPF	▪ Lao and English proficiency ▪ Master's Degree in a relevant field ▪ Proven experience to guide a team ▪ Experience with website development ▪ Experience working with development projects ▪ Experience working with GoL agencies ▪ Knowledge and experience in safeguards management, including FPIC ▪ Strong background in information management, including FPIC ▪ Experience with Financial Cooperation projects ▪ Experience in Forestry ▪ Experience in Agriculture / Value Chain Development	▪ NPMU and I-GFLL Project Manager
Safeguards Monitoring Managers (for different outputs or topical areas)	2 to 3	▪ Day-to-day guidance and management for the Safeguards monitoring team ▪ Troubleshoot the Safeguards monitoring system during its development and execution ▪ Translate the ESMP requirements in the datasheets and monitoring tools ▪ Make sure that all ESMP indicators are calculated accurately ▪ Annual reporting on all Safeguards topics (within Annual Progress Reports) ▪ Support project Advisors to properly integrate implement all the	▪ English proficiency (Lao is an asset) ▪ Bachelor's Degree in a relevant field ▪ Proven experience to guide a team ▪ Experience working with development projects ▪ Experience working with GoL agencies ▪ Knowledge and experience in safeguards management, including FPIC ▪ Strong background in Information Management	▪ I-GFLL Project Manager ▪ Safeguards Team Leader

		Safeguards tools during project activities ▪ Support project Advisors in updating the implementation guidelines where needed		
Liaison Supervisor	1	▪ Support the Safeguards monitoring team in their interactions with project staff and Government of Laos stakeholders, at all administrative levels, as well as members of the public ▪ Support and manage the provincial and district liaison officers, especially from a safeguards monitoring perspective ▪ Pre-screen incoming Safeguards monitoring data, in conjunction with the provincial and district liaison officers and project and government counterparts ▪ Facilitate and manage field-level trainings for project staff regarding the Safeguards monitoring framework	▪ Lao and English proficiency ▪ Experience managing a team ▪ Experience working with GoL agencies	▪ DMPUs, PPMUs, NPMU, and EPF ▪ I-GFLL Project Manager ▪ Safeguards Team Leader ▪ Safeguards Monitoring Managers
PPMU / DPMU Liaison Officers	3 to 6	▪ Support integration of Safeguards requirements into Project Owner Planning ▪ Initially and ongoing train Province- and District level Project Owners and PMUs on safeguards requirements ▪ Continuously work with Province- and District level PPMU and DPMU M&E Officers to ensure safeguards related data-flows are followed and data is complete and accurate ▪ Support safeguards reporting by Project Owners	▪ Lao and English proficiency ▪ Bachelor's Degree ▪ Experience working with development projects ▪ Experience working with GoL agencies ▪ Strong background in Information Management ▪ Proven experience in capacity building for data-bases or MS Excel	▪ DMPUs, PPMUs, NPMU, and EPF ▪ Liaison Supervisor

Translators / Village Facilitators	3 to 6	▪ Provide Ethnic Minority language translation for key activities in villages with particularly low Lao language capacity and ▪ Observe local level implementation to identify potential safeguards issues.	▪ Lao and Key Local Languages proficiency ▪ Higher Diploma ▪ Experience working with development projects ▪ Experience working with GoL agencies	▪ Project Owners ▪ Liaison Officers

Note: these are not all full time positions and detailed number of days for each position will have to be defined later on.

It shall be noted, that – because of the **high integration of the Safeguards- and the M&E System** - the precise set-up of the Safeguards Team for Project 2 will also depend on the setup of the M&E Team's composition. In case, that e.g. database skills are not covered by the M&E Team, these skills may have to be included in the Safeguards Teams composition. Vice versa many "knowledge management" tasks may also be included not as part of the Safeguards' Teams tasks, but as part of the M&E Team's tasks. In order to take into account difficulties by local level government staff to carry out activities in local languages, it may be considered for Project 2 to add "**Village Facilitators"** to the Safeguards Team, with the key responsibility to:

- Provide Ethnic Minority language translation for key activities in villages with particularly low Lao language capacity and
- Observe local level implementation to identify potential safeguards issues.

While it must be acknowledged that full use of local languages will not be possible in all villages, Project 1 monitoring data shows that in most villages Lao language skills are sufficient. Adding Village facilitators to the safeguards team can nonetheless help support potential language barriers in particularly remote villages with low Lao language skills.

7.2. Training Workshops

Generally, the ESMP has in Project 1 been mainstreamed in the project's operations as a **cross-cutting** theme. This is true for information-collection and safeguards data items being collected as part of other monitoring. It is also true for the trainings and dissemination to stakeholders (e.g. as part of Steering Committee Meetings, Annual and Quarterly Planning Workshops and other events). ESMP trainings have been **integrated** into various trainings by different components of the project**.** ESMP specific trainings tools have been developed and used. Thereby a broad range of stakeholders could be reached. This mainstreaming of safeguards aspects should remain valid for Project 2.

On the other hand, results from the safeguards (and gender) monitoring system are regularly shared with stakeholders through annual monitoring reports and during project meetings and related in-person events and activities (see also the project's Stakeholder Engagement Plan in FP Annex 7). The Safeguards Team's responsibility is to continuously assess safeguard relevant data-items, as described in Actions 1 and 3-8, and share critical information with the respective stakeholders. More details are provided in Chapter 9 of the ESMP under Action 1 (*System Description*) and Action 2 (*Stakeholders' Capacity Building*).

8. ESMP Budget

The total ESMP budget for the whole programme had initially been estimated at EUR 1,328,000. This can be broken down into staff and consulting costs (EUR 922,000), and material and activity costs (EUR 406,000, see Table below). For project 2, approximately half of this budget is to be retained. With the high integration of the Safeguards with the M&E System, ESMP budget and team composition (e.g. for the establishment and maintenance of the database) needs to be viewed in context of the budget and composition of the M&E team.

Note: The ESMP budget does not include some specific activities, which are already mainstreamed into the project budget under specific activities:

- EUR 280,000 for supporting the implementation of FPIC, budgeted for in the project budget under Activity 1.2.3
- EUR 144,000 for training DPMU on social inclusion, meaningful consultations and other ESMP-related actions, budgeted under Activity 1.2.3.
- EUR 189,000 for the local implementation of social inclusion, meaningful consultations and other ESMP-related actions, budgeted under Activity 1.2.3.

8.1. Staffing and Consulting Costs for Project 2 (in EUR)

Table 4: Staffing and Consulting Costs for Project 2

Title	Timeframe	# of months	Cost per month	Total
Safeguards Team (see details on Positions in ESMP Chapter 7.1)	2023 - 2027	48	12,000	576,000

8.2. Activity and Material Costs (in EUR)

Table 5: Activity and Material Costs

Title	Cost per unit (€) manual	Year 1	Year 2	Year 3	Year 4	Total quantities
		Quantities				
1.2.3.2.1 Travel cost for the implementation of the ESMP and gender action plan including operation of FGRM	**5,000**	**1.0**	**1.0**	**1.0**	**1.0**	**4.0**
1.2.3.2.2 Implementation of ESMP in pilot area (data collection, compliance control, reporting on safeguards etc.)	**20,000**	**2.0**	**1.0**	**1.0**	**1.0**	**5.00**
1.2.3.2.3 Implementation of gender action plan (integration of gender aspects in PRAP's, gender-proofing regulations in VFM/SFM/ FLR, attend village meetings, training material, DSA & NA for LWU or NGO's - e.g., Association for Development of Women etc.)	**50,000**	**1.0**	**1.0**	**1.0**	**1.0**	**4.00**
1.2.3.2.4 SP 2 (BK, LN, OX): District level consultation and training events, FPIC, awareness raising events for (assume 12 districts, 2 consultations per district)	**1,000**	**12.0**				**12.00**

Title	Cost per unit (€) manual	Year 1	Year 2	Year 3	Year 4	Total quantities
		Quantities				
1.2.3.2.5 SP 2 (BK, LN, OX): District level consultation and training events, FPIC, awareness raising events for (assume 12 districts, 2 consultations per district)	**1,000**				**12.0**	**12.00**
1.2.3.2.6 FPIC 1 (SP 1 & Phase 1): Initial awareness raising campaigns, consultation in 290 villages (1x meeting per village/290 villages covered by GIZ/BMZ before project start)	**400**	**290.0**				**290.00**
1.2.3.2.7 FPIC 1 (SP 1 & Phase 2): Initial awareness raising campaigns, consultation in 200 villages (200 villages & 1 meeting per village); Total No. of villages in SP1/Phase 2: 200)	**400**				**200.0**	**200.00**
1.2.3.2.8 FPIC 1 (SP 2): Initial awareness raising campaigns, consultation in 300 villages (300 villages & 1 meeting per village) Total No. of villages in SP2: 300	**400**				**300.0**	**300.00**
1.2.3.2.9 FPIC 2 & 3 (SP 1 & Phase 1): Village forest management agreement etc. consultation in 290 villages	**800**	**90.0**	**200.0**			**290.00**
1.2.3.2.10 Governmental staff input for implementation of FPIC (LWU, LFND); Trainings: 5 persons * x 12 districts * 2days/30		**4.0**	**4.0**		**4.0**	**12.00**
1.2.3.2.11 Governmental staff input for implementation of FPIC (LWU, LFND); FPIC 1: 5 persons * 290 villages * 2days/30		**30.0**	**66.7**			**96.7**
1.2.3.2.12 Governmental staff input for implementation of FPIC (LWU, LFND); FPIC 2 & 3: 5 persons * 290 villages * 4 days/30		**30.0**	**66.7**			**96.7**
1.2.3.2.13 NMA Staff	**2,759**	**12.0**	**12.0**	**12.0**	**12.0**	**48.00**
1.2.3.2.14 NMA Travel	**2,116**	**12.0**	**12.0**	**12.0**	**12.0**	**48.00**
1.2.3.2.15 NMA procurement (Laptop 1.000 EUR, Monitor 300 EUR, Office Supply 200EUR)	**1,500**	**2.8**				**2.8**

9. ESMP Actions

Table 6: Overview of ESMP Actions

Action #	*Title*	*Classification*
Action 1	ESMP Monitoring and Implementation	Systemic Actions
Action 2	ESMP-related Capacity Building	
Action 3	Free, Prior and Informed Consent (FPIC)	Technical Actions
Action 4	Social inclusion	
Action 5	Land Use Issues, Land acquisition and Involuntary Resettlement	
Action 6	Biodiversity	
Action 7	Health and Safety	
Action 8	Adaptation to risk-related to Climate Change Impacts	
Action 9	Grievance Redress Mechanism (GRM)	"Reaction"

9.1. ESMP Action 1: ESMP Monitoring and Implementation

Objectives

The objectives of Action 1 are to make sure that the Safeguards and Gender Monitoring System is established and functional.

This entails the following detailed objectives:

- ESMP aspects are integrated into planning
- The compliance with ESMP requirements is monitored / monitoring tools are established and implemented
- All required data is collected and made available to all relevant stakeholders
- Responsibilities on ESMP are clarified and implemented
- Safeguards and gender aspects can be reported as required
- Feedback on detected safeguards and gender issues to all relevant stakeholders is given
- Tools are established to make sure that mitigation measures are systematically implemented
- Ensure that preconditions for specific activities are met

Conceptual background

The overall function of Action 1 in this ESMP is to make sure that all tools are in place, which make sure that all stakeholders trained in the context of Action 2 are able to carry out Actions 3-9. Thereby Action 1 includes the description of the Safeguards and Gender (monitoring) system. Synchronization of project activities to the ESMP (i.e. ESMP mainstreaming) will be essential. This ESMP may be updated, whenever necessary (e.g. because of a significant contract amendment) or if the Safeguards Team see it as necessary. All implementation guidance to this ESMP (e.g. training materials) are to be **translated** into Lao.

As a category B project (medium ES risk), the project needs a dedicated ESMP as well as qualified staff and financial resources to implement the ESMP. The ESIA (in section 3.10.3) noted gaps in available data that can affect the project ability to implement and monitor activities. There are currently no existing GOL monitoring mechanisms that might be drawn upon to support this work. By developing a monitoring and reporting framework, unintended negative impacts can be **identified and avoided or mitigated.** The potential risks of overburdening project management with ESMP implementation will be mitigated by engaging a dedicated team of specialists, who will oversee the implementation of the ESMPs, continuously monitor its effectiveness and efficiency, and improve as necessary. project activities require support from GoL at all levels and across multipledepartments, including but not

limited to technical knowledge, local knowledge, ethnic languages, and practical experience.

Conceptually, the system will have to cover both:

- *Unintended negative impacts and*
- *External risks*

Safeguard management process

The ESM Team will conduct and oversee ESMP integration and implementation over the life cycle of the project. A vertical monitoring framework (from national to community level), needs to be **developed,** which measures adherence to this ESMP and GCF & GIZ safeguards in general. This monitoring system should contain the following Safeguards Monitoring Tools. In addition, collection of general data is to be carried out as part of the project's operations, as the ESIA shows, that available socio-economic and other types of data is **insufficient for risk monitoring and safeguards purposes.**
Many of these listed tools will be specified in the respective other 'technical' actions within this document. All tools are to be developed by the Safeguards Team, which also ensures their implementation, including data-collection, training course development and others.

Moreover, as an overall tool to "avoid adverse social and environmental impacts that cannot be adequately mitigated by the program or that are prohibited by the national legislation". An **ESS screening of sub activities** will be made an integral part of the Risk-Log process described in the project's Operational Manual. In this process, each Project Owner **screens every sub-activity included in the Quarterly Plans**, against relevant risks selected by the Safeguards Team. The Safeguards Team will use the "Checklists for environmental and social screening" found in Annex 5 in order to prepare said "Risk-Log & ESS Screening Checklist". Thereby, it is ensured that the Safeguards Team allocates different risks to all sub-activities which practically are relevant to them. On the other hand, using this process contributes to raising awareness of E&S risks to implementers and project owners, and binds them towards screening the sub-activities against the risks. The quarterly plans, to which the Risk logs are attached are sent to the DoF for review.

Table7: Safeguards monitoring tools

Safeguards Tool	Details & Purpose	Timelines	Responsibilities
Tools to be implemented 1 or a few times			
UXO checks	To confirm, if villages have UXO risks, in which case they would not be selected for as target village	During selection of target villages	PPMU
Donor Mapping	Overview of other related donor projects in all target districts, in order to avoid duplication of interventions and enable synergies.	At least baseline, mid-term	Safeguards Team with information from PPMU and DPMU
District Staffing Survey	Assess capacities, motivation and the availability of computers and internet to implement the Cloud Database (if implemented) and implement the Safeguards System.	At least baseline, mid-term	Safeguards Team
Relocation Survey	Detect any potential relocation of target villages, which would trigger the project to stop working in these villages.	At least baseline, mid-term	Safeguards Team with information from PPMU and DPMU
Investment Survey	Elaborate on current and upcoming major investments in target villages, which might have an impact on land use.	At least baseline, mid-term	Safeguards Team with information from PPMU and DPMU

Village Profile	Make available all relevant socio-economic data on each target-village to support village level planning of activities.	1-time in early stages of implementation	Implementers of Activities
Assessment of Lao language capacity in target villages	Give information on Lao language capacity in target villages to promote the use of local languages wherever useful and necessary.	1 time in early stages of the project (e.g. FPIC 1)	Implementers of Activities
Free, Prior and Informed Consent	Ensure that beneficiaries understand the implications of the project and enable them to raise their opinions, if to join or not join the project.	Before any significant project activities are implemented	LWU and LFND
Tools to be implemented on an on-going basis			
Risk-Log & ESS Screening Checklist	Screening of all Sub-activities against selected relevant E&S risks.	During every Quarterly Plan review / validation	All Project Owners (Implementers of Activities)
ESMP Checklist	Raise awareness about and remind implementers to consider all relevant ESMP related issues during activity implementation.	Before each activity is implemented in communities	Implementers of Activities
Self-Assessment of Understanding by Villagers	Assess the understanding by villagers of information given to them during community meetings. Note: This self-assessment will also raise any potential language problems.	At the end of all Community Meetings	Implementers of Activities
Understanding check on risks of using chemicals and mono-cropping	Assess, if information given to villagers about chemicals and mono-cropping is understood by villagers.	At the end of the awareness raising activity	Implementers of Agricultural Activities (DAFO)
Participant Lists	List all participants in all activities, including information on their ethnicity and gender to assess, if women and men and all ethnic groups are well represented. (for GoL participants, also including their positions)	For all activities, at all levels	Implementers of Activities
EMSP Training Evaluation/Test	Assess/test the level of understanding attained by participants in the ESMP trainings.	At the end of ESMP trainings	Safeguards Team and GIZ Advisors
Language Usage by implementers	Give information on the language used in Community Meetings to make sure that in villages with low levels of Lao language capacity, local languages are used.	For all Community Meetings	Implementers of Activities
Grievance Redress Mechanism	Enable beneficiaries and other types of stakeholders to raise any grievances they may have with the project.	Ongoing (and introduced in early stages of the project)	Safeguards Team, GIZ Advisors and Implementers of Activities
Grievance Redress Mechanism Introduction Evaluation/Test	Assess, if villagers have understood, which channels they may use to raise a grievance.	At the end of GRM introduction to villagers	Implementers of Activities
Private Partner Screening	Assess, if potential partners have any negative track record on social and	Before any agreements	Advisor or Consultant to facilitate Matching

	environmental issues and obtain Safeguards related information about the potential partners.	with private partners	Grants and match making
Chance Finds Procedure records	Protect and safeguard the integrity of any culturally, historically, archeologically significant item or structure encountered during work done for project activities.	Any time physical work is done for project activities.	Implementers team in charge of coordinating the concerned activity.
UXO Protocols implementation reports	To ensure safety of all stakeholders in situation of high UXO risk.	Any time visit to or work in a high UXO-risk area cannot be avoided	Implementers team in charge of coordinating the concerned activity.

In addition to these stand-alone safeguards tools, many data-items to collect (e.g. for indicators and other monitoring to be done, as specified in this document) are to be integrated into the regular data tools by all components. These tools are not mentioned here, but will be listed as "source of data" in the 'technical'.

Capacity Building

Capacity building required to operate the safeguards system is described in detail in Action 2.

ESMP Action Framework

By using the tools as described above plus further data tools, in which ESMP related information is captured, all ESMP related aspects are to be covered.

Actions 3-8 (i.e. the 'Technical Actions' of this ESMP) use an approach, which follows-up the ESMP management cycle in a systematic way. The objective of each action is to avoid certain safeguards issues, or if they still do occur, to detect these issues and effectively mitigate them.

For each action, firstly its objectives are formulated and a description of its specific unintended negative impacts and the external risks is given.

The safeguards framework then lists the key safeguards aspects. For each aspect it is elaborated, how it could be avoided **pre-emptively** (e.g. by considering them in guidelines, by raising awareness about the issue or by specific data-collection). However, it is acknowledged, that these pre-emptive measures will not always be able to avoid safeguards issues that arise. Therefore, each safeguards aspect needs to be continuously **monitored** and (if found problematic according to the monitoring information) it needs to be **mitigated**. For especially important aspects, **indicators** with targets are formulated.

By systematically following-up on all safeguards aspects, safeguards issues should be effectively managed and minimized.

Safeguards monitoring includes:

- Compliance monitoring
    - Where all safeguard requirements are met according to safeguard policy statements
    - Develop and update list of lead information and data to acquired during implementation
- Quality monitoring is required to
    - Assess the adequacy, suitability, effectiveness and efficiency of ESMP implementation
    - Include monitoring variables

The following **risks** need to be addressed: Implementers might not adhere to the provided monitoring tools and guidelines and requires continuous quality checks, which should be provided in a timely manner by the Safeguards Team through an online database. The database can also enforce the usage of standard tools by providing them to implementers. In order for all implementers to be aware about the system requirements, proper training and coaching is key.

In addition to using the Safeguards system to minimize safeguards issues, the information produced by the system is also to be used for **reporting** to stakeholders, including the GCF AE unit at GIZ HQ and the GCF. Also feeding back the information from the safeguards system into Steering Committee Meetings, planning processes and project design is important.

Timeframe

The safeguards system is mainstreamed into the project's operations and therefore carried out continuously. Particularly important timelines are:

- Annual reporting to GCF
- All baseline data should be collected within the first 18 months of project commencement.

This information is often to be collection in conjunction with (early stage) activity implementation and can be aggregated by using a village profile in the database.

Responsibility & Counterpart inputs

Overall, the implementation of the safeguards system is under the responsibility of the contracted Safeguards Team, but involves other project stakeholders (see Table 7 on safeguards monitoring tools above).

Indicators

- All Safeguards Monitoring Tools are established and implemented according to the required timelines
- ESMP highlights translated into Lao
- ESMP checklist created
- Monitoring system with target indicators set up and reported upon
- Produce a village profile, which consists of baseline socio-economic information collected from various implementation approaches
- Survey on district M&E staffing levels, capacity and work environment is conducted twice during the project lifetime
- Donor mapping which lists the agriculture and forestry projects in a given area, and provides details about beneficiaries, and GoL staff working on the project to aid coordination and avoid duplication is conducted twice
- Use of ESMP "pre-implementation" checklist 50% after first year of project implementation, rising to 90% after third year of project implementation.
- At least 50% of project owners are able to use system by the end of the first year, 85% success after year 2.

9.2. ESMP Action 2: ESMP-related Capacity Building

Objectives

The objective of Action 2 is to ensure that all relevant stakeholders have all knowledge required to implement the ESMP effectively.

This includes:

- Ensure the quality of overall planning, data collection, and reporting of all relevant stakeholder in the project. (i.e., competent usage of the online database system)
- Strengthening capacity building in ESMP related topics and in the legal framework relevant to all the main working areas of the project.
- Understanding of the respective guidelines (e.g., FPIC, gender mainstreaming and social inclusion, EGDP, GRM, …)
- Understanding of the national legal framework in the local project context, which includes forest control and investigation procedures (SOPs)

Conceptual background

Overall Concepts

Ensuring the quality of "village profiles" data collection and other data gathering activities at the beginning of the project lifetime will provide not only:

- a comprehensive baseline for monitoring,
- but will also support capacity building and
- raising awareness on environmental and legal issues for all the project personnel.

The project needs to build ES-related capacities of implementation partners in and under MAF mainly DOF, DOA and subnational line agencies including PAFOs, PONREs, PAFOs, and DONRES, with specific support for PPMUs and DPMUs.

To reach this objective, the ESM Team has to develop **safeguards training** that include the principles, requirements, and implementation of applicable safeguards. This will be integrated in the widest possible range of "work area specific" trainings delivered by the project to the implementers.

The National GIZ Executing Entity staff need to integrate all the topics listed in the table above (Gender, Ethnic groups, GRM, Biodiversity and NTFPs management) into the relevant **broader trainings** prior to implementation of major work areas. This includes trainings to implementers from government offices and CSOs such as Lao Front for National Development (LNFD) and LWU as mentioned in the table above.

In conjunction with the project's legal capacity building activities, the project will conduct pre-and post- knowledge tests to assess the level of (for example) legal understanding of each of the participants. This action aims to help design and adjust training materials and a training methodology in order to reflect the actual training needs and to yield better results. The test will also be used as an indicator to monitor:

- Improvement of legal knowledge over the project period;
- Individual interests and needs for legal knowledge strengthening;
- Most importantly to ensure that participants have a good understanding of the legal framework, principles and requirements.

External risks

A number of risks identified during the ESIA and ESMP consultation process at a district and provincial

level[3] include:

- Limited awareness of safeguard policies, amongst GoL staff (although country safeguard systems have been introduced and implemented by WB and ADB during the last decade, the exposure to these issues is uneven). Lack of trained staff to implement ESMP actions will limit the ability of implementers to properly address the rights of marginalized peoples to equal participation.
- Lack of access to materials, lack of ongoing support including training and post-training monitoring, and frequent personnel changes at provincial and district level result in fractured knowledge.
- Law enforcement and legal knowledge itself is dependent on the capacity of the local authorities, resulting in inconsistent application of the law.
- Local authorities and villagers demonstrate an over-confidence in their own understanding of the law and how it practically relates to their lives, however they are actually unable to explain even basic laws, or how these are implemented, and their actions indicate a level of misunderstanding.
- Lack of support for local government awareness raising and capacity building is a main source of risk to forests, therefore supporting information dissemination and exchange is the only mitigation strategy possible.

Safeguard management process

The safeguards team and the GIZ advisors collaborate and develop the following tools and trainings in order to address the concepts and risks listed above.

Table 8: Trainings

Topic to train on	Who needs to be trained	How/by Whom is training done? (Responsibility)	When training should be done (Timeframe)
General use of the planning, data collection and reporting system (Online Database, Budget requests)	- National Advisors - Provincial Advisors - PPMUs - DPMUs - All Implementers	- Practical, on-site trainings by M&E Team and Safeguards Team. - Ongoing coaching and onboarding of new staff.	- Before any kind of implementation, including before FPIC1. - Continuously, as M&E team is in constant contact with all implementers and advisors.
"Establishment of district FPIC teams and training on FPIC1 and its implementation at village level". This includes the gender and social inclusion requirement.	- LFND - LWU - All other offices/observers involved (PAFO/DAFO/DOF, etc)	- National Project Advisor (GIZ) responsible for FPIC and Safeguards. - Overview by Safeguards team.	Before any kind of implementation.
Overall ESMP concepts awareness training (covers all ESMP technical actions 3-8) and includes Sexual Exploitation, Abuse and Harassment awareness and Code of Conduct.	- Implementers of village-level activities. - National level (PMU)	- National Project Advisors (GIZ). - Overview by Safeguards team.	This ESMP awareness training has to be integrated with larger trainings for the major work areas of the project as soon as possible in the first year of implementation.

[3] Note: In this version of the ESMP, consultation results refer to consultations in the framework of Project 1. The upcoming final version of this ESMP will consider Project 2 consultation results.

Introduction on the concepts/consultation and awareness raising on biodiversity and NTFP management.	- LFND - LWU - At least all PLUP village level implementers that will present GRM to villagers during first PLUP visit. - Ideally, all implementers.	- National Project Advisor (GIZ) responsible for FPIC and Safeguards. AND/OR - National Project Advisor (GIZ) responsible for PLUP. - Overview by Safeguards team.	Integrated in FPIC and PLUP trainings to implementers prior to to implementation of major work areas.
Training on GRM, its presentation to the beneficiaries, and its implementation.	- LWU Province Level - LNFD Province level - At least all PLUP village level implementers that will present GRM to villagers during first PLUP visit. - Ideally, all implementers.	- National Project Advisor (GIZ) responsible for FPIC and Safeguards. AND/OR - National Project Advisor (GIZ) responsible for PLUP. - Overview by Safeguards team.	Before first PLUP event in village. Integrated into PLUP training.
Legal Framework training "Trainings /workshops for cross-sectoral coordination (plus material) on each key law/regulation and common application of regulation (all levels)"	- All levels of Implementers PAFO, DAFO, and DOF.	- National Project Advisor (GIZ) responsible for Forestry. - Overview by Safeguards team.	Before any implementation and compliance check related to PLUP and VFMP.
"Training on legal framework of forestry for POFI and DFIU"	- POFI, DFIU	- National Project Advisor (GIZ) responsible for Forestry. - Overview by Safeguards team.	Before any implementation and compliance check related to PLUP and VFMP.
Training on climate risk and vulnerability and the identification and scaling up of climate-resilient and deforestation-free sustainable land management practices, (including information on maladaptation and the importance of regular monitoring)	- PAFO, DAFO	- National Project Advisor (GIZ) responsible for Agriculture. - Overview by Safeguards team.	Integrated into other trainings concerning agricultural promotion

Additional safeguard management approaches

Since all level of the project, from National GIZ Executing Entity staff (also called National GIZ Advisors), M&E Team and Safeguards Team, NPMU to Provincial Advisors, PPMUs, DPMUs and District implementers can be in direct contact at any time, the project has a mentoring and participatory style capacity building approach to ensure understanding and impact of:

- deforestation-free and climate-resilient agriculture
- sustainable village forest and national protected area management
- natural resource management
- social inclusion principles (including meaningful consultation, gender and IPP)
- legal frameworks

Note: The online database, which is accessible to all levels of project mentioned above, provides access to the contact, location, office and responsibility of more than 1600 stakeholders. This enables all of them to easily find references when mentorship or further explanations are needed.

Timeframe & Responsibilities

The Capacity Building related to the ESMP aspects is mainstreamed into the Project's operations and therefore carried out along with the project implementation.
Overall, the implementation of the safeguards System capacity building is under the responsibility of the contracted Safeguards Team, but involves other project stakeholders.
Detailed responsibilities and timeframes for specific work areas are listed in the table above.

Indicators

- At least 90% of PMU attend ESMP relevant training workshops.
- Pre and post workshop assessments on basic concepts demonstrate at least 70% of attendants have improved understanding of safeguards process.
- Attendees to ESMP training complete questionnaire on ESMP, with at least 50% demonstrating competent understanding after first year, 85% understanding after year 2.
- Feedback questionnaires for workshop attendees indicate at least 60% of participants feel that information is supporting their work.
- After three years of project life, 60% of DPMU staff are able to identify an individual who provides them with support and mentoring
- ESM Team to develop and deliver training workshops.
- Key appointed personnel stay with project for more than 2 years.

9.3. ESMP Action 3: Free, Prior and Informed Consent (FPIC)

Objectives

The main objective of this Action is to achieve broad community consent and support with an active participation by all **project** participants during the FPIC process.

This includes:

- Broad consent given by all villages before activities are implemented.
- Ensure sufficient understanding of project by future beneficiaries.
- Ensure Gender and Ethnic balance in decision making processes.
- Ensure Implementers fully understand FPIC process (See Action 2).

Conceptual background

Overall concepts

Key elements of the FPIC process have been provided in the FPIC guidelines from the FPIC in REDD+: *Principles and Approaches for Policy and Project Development*[4].

The implementation of a FPIC process is methodologically solicited through consultation and the participation of all local communities.

[4] Information on FPIC in REDD+ contexts:
https://redd.unfccc.int/uploads/2_74_redd_20130710_recoftc_free_2C_prior_2C_and_informed_consent_in_red dplus.pdf
https://www.unredd.net/documents/un-redd-partner-countries-181/templates-forms-and-guidance-89/un-redd- fpic-guidelines-2648/8717-un-redd-fpic-guidelines-working-final-8717.html?path=un-redd-partner-countries- 181/templates-forms-and-guidance-89/un-redd-fpic-guidelines-2648.

The FPIC process is separated into 3 stages. The most important step, the consultation (referred to as "FPIC 1") happens first and villages are given time to absorb the information for 2 weeks. Afterwards, the village representative is the one who communicates the decision to the project. What is referred as FPIC 2 and FPIC 3 are respectively an "*awareness and consultation*" and a "*formal signing ceremony*". In reality, villages always have the possibility to opt-out of the project or to request changes on specific documents at any step.

The following principles for FPIC are applied:

- FPIC is **prerequisite** for starting any activity. Without the consent of the beneficiaries, the project doesn't even begin in the concerned villages.
- The beneficiaries must receive adequate, transparent, clear and **comprehensive information** about potential **risks** and **benefits** of participating in the project. This information must include both benefits and risks to beneficiaries in terms of access to land, forests, NTFPs, and other livelihood options, as well as income possibilities.
- Project communication must be in **languages** that participants **understand**. Community's level of Lao language is assessed during the FPIC as well as the languages used during the community meetings. Moreover an "understanding of discussed topics micro survey" is realized after every meeting.
- **Records** are kept of all FPIC processes and results, and maintained in a **database** for continued tracking throughout the project life. The process flexibility helps build trust and mutual understanding among all stakeholders involved. Database of records created to record and monitor ongoing consent amongst all participants at a community level, with care given to ensure participation by ethnic peoples, women, and other socially disadvantaged people (Action 3). Consultations took place during the design phase, however, the only real FPIC process documented as such, where the formal consent is given, is the one done in each village, when the villages decide to join the project or not.
- Consulted communities must be given **sufficient**[5] time to absorb information and discuss amongst themselves free from intervention by GoL and/or project staff, and allowed to come to their own decision on whether to participate. Villagers are asked to give a first opinion right during the "FPIC 1" in the village, however, regardless of the outcome of this "informative vote", the decision to join or not the project is communicated by village representatives (through the phone) 2 weeks later, without a second visit.
- If the community is **hesitant**, or feels the that the information is **insufficient**, the project can go through 'good-faith' **negotiation** to provide further documentation to allow them to make a fully informed decision.
- A **grievance mechanism** structure is introduced not later than the start of implementation of key activities (excluding FPIC 1)
- Although consent is given after FPIC process is finalized, the opportunity is left available for the villagers to **opt-out** of the project at any time.

Unintended Negative Impacts

In order for the project and its activities to have **local credibility,** the negotiation of lasting agreements on the use of resources has to recognize both the rights of ethnic groups and those of local communities who depend on a particular forest area for their livelihoods. This is done through consenting in FPIC process. Not doing so may lead to conflict or inequitable outcomes where established livelihood practices and access to resources are altered or denied.

The FPIC process, and the following social inclusion action (Action 4), will support villagers to clearly

[5] This means not requesting an answer about consent on the same day that the information is provided to the community.

understand project aims, and mitigate against the possibility of unintended negative impacts as villagers will provide their consent and ongoing interest in project activities.

During the ESMP community consultations, villagers in three target villages **acknowledged** that they frequently **lacked understanding** of overall project goals in the beginning of the project process. In the case of land use planning, the uncertainty about what the results of the project would be resulted in villagers making land use choices based on misinformation. A specific example from land use planning project in Houaphan Province is that villagers initially **identified an area** for village forest conservation area based on their fears that the GoL would use areas that had not been selected for conservation forest as potential lands for external investors.This resulted in the village **not identifying the most suitable area** for conservation as conservation forest, a situation they now would like to rectify as project aims are better understood.

Safeguard management process

Main safeguard framework

Safeguards Aspects	Pre-emptive mitigation	Monitoring (+ source of data)	Mitigation
Broad consent by beneficiaries	FPIC by itself is a pre-emptive mitigation as nothing is done without this process.	FPIC consultation was done and results recorded. At least at 50 villagers joined (participant list)	No activity can be triggered before FPIC is effective. Consultation, participation and voting must be documented.
Understanding of the project by beneficiaries	An assessment of language capacities of each village has to be done at a very early stage (FPIC 1). Local languages will be used in village meetings as needed according to the results of the assessment of language capacities.	For every key project intervention, a self-assessment understanding questionnaire has to be established.	If understanding of the project is insufficient or if gender and ethnic balance are not respected, issue is raised to project (case by case).
Gender and Ethnic balance respected	In the FPIC process and in all relevant interventions in general, the gender balance must be respected and the Ethnic groups represented proportionally.	Participant lists of village meetings need to include information on gender and on ethnic backgrounds of participants.	
Understanding of FPIC by the Implementers	Training for FPIC	Check global understanding of FPIC process with pre-post assessment understanding questionnaire to be filled by implementers.	If the understanding of the FPIC is not satisfactory, another training will be put in place.

Additional safeguard management approaches

Although FPIC acquired the consent of the beneficiaries, if it's poorly implemented, mitigation measures may be needed against many activities that can have unintentional negative impacts, such as:

- Village forest management and NPA management activities and law enforcement affecting access to places of cultural heritage significance;
- Participatory Land Use Planning process leading to insufficient allocation of arable land;
- Restriction in access to customary land uses for NTFP collection or any other food security

and income generating activities.

Timeframe

- The FPIC process is conducted in the beginning of the life of project. It must be implemented in each community, before project interventions commence in that area.
- The Project's database, which gather all monitoring data including FPIC ones, is to be set up in the first year, with ongoing meaningful community consultation[6] and social inclusion engagement activities including monitoring and maintenance throughout life of the project.
- Annual operation plans are written and have to be accepted before implementation every year; not accepting the plan would mean opting out of the project's implementation-oriented activities related to sustainable forest management and climate-resilient and deforestation free agriculture and related value chains.

Responsibility

- NPMU has overall responsibility to manage FPIC process with GIZ support.
- LWU and LFND will implement the FPIC process at a community level after training from FPIC consultant.

Counterpart inputs

- LWU and LFND at national, provincial and district level to participate in meetings, support data collection with support from ESM Team and consultants
- Mass organizations support for implementing FPIC process (as done in Houaphan Province)

Programme inputs

- ESM Team to support consultants
- Support Training for LWU and LFND
- Province level lessons-learned workshops before the mid-term review and before EOP evaluation
- Ongoing project staff costs

Indicators (including Targets and Method of data collection)

- Targeted communities receive information, and are making informed decision about participation, as demonstrated through the M&E database website, which is set up and maintained: FPIC information on each village can be found in the Projects' website database
- 100% of community based project activities implemented can demonstrate participation in the FPIC process, with broad consent being achieved from the community
- Project can identify communities which have not given consent for village-based activities
- Province level lessons-learned workshops before the mid-term review and before EOP.
- At least 90% of FPIC 1 participants in villages, that join the project agree with joining the project

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

9.4. ESMP Action 4: Social Inclusion

Objectives

The main objective of this action is to make sure that all social groups are proactively included in the planning, implementation and monitoring of I-GFLL interventions in a participatory and inclusive way.

This includes:

- Fair representation of ethnic minorities in decision taking.
- Promotion and enforcement of gender balance in all activities.
- Inclusion of all social groups.
- Categorical avoidance of any sexual violence, including sexual exploitation, sexual abuse and sexual harassment (SEAH).
- Fair and equal access to Market for every groups (women, ethnic minorities, poor people).
- Understanding of the project by the ethnic minority groups who do not speak Lao.
- Respect of the ethnic minority traditions and values.
- Cultural heritage sites not affected by the project's activities.

Conceptual background

Overall concepts

Creating a **Social Inclusion Action** aims to make sure that all social groups are involved in I-GFLL interventions in a participatory and inclusive way and thereby avoids exclusion of certain social groups, especially marginalized ones. These groups could be: ethnic groups[7], women and men (including female headed households), poor households.

Being socially inclusive at a village level is the only effective way to adequately engage with communities and to ensure sustainable participation. It is a process that follows on and continues throughout the entire project cycle, starting with FPIC and ending with the final evaluation.
The following **principles** for Social Inclusion are applied and the project:

- provides timely disclosure of relevant and adequate **information** that is understandable and readily accessible to affected people;
- is undertaken in an atmosphere **free of intimidation** or coercion;
- is **gender** inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups;
- enables the **incorporation of all relevant views** and the (traditional) knowledge of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues[8];
- Respect and enhance the rights of ethnic groups to their lands, territories and resources and rights related to cultural and spiritual heritage and values, traditional knowledge, resource

[7] According to the EGDP, p. 15, ethnic groups are defined as follows: These ethnic groups meet the eligibility criteria of World Bank's and GCF's indigenous peoples, which can be identified by the following characteristics:
• Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others;
• Collective attachment to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these habitats and territories;
• Customary cultural, economic, social, or political systems that are distinct or separate from those of the mainstream society or culture; and
• A distinct language or dialect, often different from the official language or languages of the country or region in which they reside. This includes a language or dialect that has existed but does not exist now due to impacts that have made it difficult for a community or group to maintain a distinct language or dialect.

[8] https://www.adb.org/sites/default/files/institutional-document/32056/safeguard-policy-statement-june2009.pdf.

management systems and practices, occupations and livelihoods, customary institutions, and overall well-being;

- Recognize key international human rights and principles, including the principles set forth in UNDRIP and other relevant international and regional instruments relating to the rights of indigenous peoples and individuals including, where applicable but not limited to, ILO Convention No. 169, the International Covenant on Economic, Social and Cultural Rights, and the International Convention on the Elimination of All Forms of Racial Discrimination which Lao PDR is a party to;
- **Considers** the gender, ethnic, and socio-economic factors that can limit **participation** ability at a local level in all project interventions;
- Inform project-affected people about the availability of and ways to access the project's GRM and GCF's Independent Redress Mechanism for redressing grievances, including those related to SEAH, providing them with information through brochures (See Annex 2) and the stakeholder engagement process (i.e., during the FPIC 2 meetings, see action 9) and other culturally appropriate and gender-responsive means, and
- **Condemns any sexual violence** (**SEAH**) occurring in the context of or because of the project, which are to be relayed and addressed through the GRM (see Action 9).

Thereby the Social Inclusion action covers the requirements by a number of related documents:

- GCF Indigenous People's guidelines
- I-GFLL Ethnic Groups Development Plan
- Gender Action Plan
- GCF Policy on the Prevention and Protection from Sexual Exploitation, Sexual Abuse, and Sexual Harassment (SEAH). (see Action 2, integrated into ESMP concepts training)
- "GIZ Code of Ethics, which covers also SEAH issues (Policy on sexual misconduct)"
- "GCF Action Plan for Addressing Sexual Exploitation, Sexual Abuse, and Sexual Harassment – SEAH Action Plan, March 2022"

Unintended Negative Impacts

This Social Inclusion action aims to ensure that – as a result of project interventions - **conflicts** between social groups are **avoided**, perspectives and experiences of the whole village population are taken into account and ensures excluded groups participate in the project's activities. Language and cultural differences can create misunderstandings and reduce cooperation and participation in the project.

The project must also **minimize, mitigate and compensate appropriately** when project activities impact on indigenous people's rights, regardless of whether there is a legal recognition of land titles, resources and territories. This can relate to cultural heritage sites or certain land-use related practices being affected by Land Use Planning[9]. If the project supports interventions that could potentially restrict indigenous peoples' use of bush fallows for future upland cultivation, there must be consultation to ensure that FPIC has been obtained. These issues could happen as a result of failure to recognise areas of cultural value.

There are also risks of unequal participation and benefits, for example, "**elite capture**" (as seen in the ERPD). This needs to be addressed in the context of poor people being amongst the most risk averse, having less threshold for trialling new activities, being more likely to be disadvantaged in terms of access to GoL or project services due to, for example, distance, poverty, language, educational

[9] Another of the GCF Policy objectives in relation to land states: To promote and respect indigenous peoples' rights to own, use, develop and control the lands, territories, and resources that they possess by reason of traditional ownership or other traditional occupation or use, as well as those that they have otherwise acquired. This, of course, relates to respect for ethnic peoples' management of lands and resources, including their traditional knowledge in this management.

obtainment levels, etc.

Separate gender and ethnic group development plans [10]although essential for highlighting risks and mitigation strategies can result in **less integration** of these activities within the overall project structure as they are seen to have been addressed in separate documents.

Time pressures, from planning and consultation to implementation, do not enable participants to adequately absorb, consider, question and respond to the information provided.
"REDD+ to promote forest protection and management may increase the **pressure on the ethnic groups**, especially in relation **to their access to and use of land and forest products**. This EGDP therefore affirms that in order to manage the aforementioned risks, special measures on the customary use of land and forests are incorporated in the process of free, prior, informed consents (FPIC), participatory land use planning (PLUP), social inclusion strategies, village forest management plan (VFMP) and other safeguards measures specified in the ESMP. The project will ensure that the ethnic groups are not further alienated from their traditional forest lands and can engage in and be a part of the design, implementation, and monitoring of project activities." (EGDP, p. 20)

Note on further risks mentioned in the EGDP: Issues on potential relocation are covered under Action 5. Issues concerning the use of chemicals are covered under Action 6 and 7.

External risks

Social inclusion aspects are purely project internal risks and do not include any external risks
See Sections 5.3.1, 5.3.2 and 5.3.3 of the ESIA.

Safeguard management process

Main safeguard framework

Safeguards Aspect	Pre-emptive mitigation	Monitoring (+ source of data)	Mitigation
Ethnic groups inclusion	In all relevant interventions by the project, men and women from all ethnic groups must explicitly be invited to participate. This needs to be mentioned in all relevant guidelines. (e.g. PFIC, PLUP, VFMP)	Participant lists of village meetings need to include information on the ethnic groups in meetings.	The process of village selection has to choose a number of non-Lao loum villages to represent the local proportion of the ethnic population. If ethnic balance is not respected, issue is raised to the project (case by case)
Gender Balance	In all relevant interventions by the project, gender balance must be promoted and enforced.	Participant lists of village meetings need to include information on the gender in meetings. The gender data is to be analyzed for key ethnic groups to ensure that there is gender balance of all key ethnic groups.	If gender balance is not respected, issue is raised to the project (case by case)
Social groups inclusion	In all relevant interventions by the project, the inclusion of every social group must be promoted.	The ESMP checklist given to implementors and to be reviewed as a "reminder" before all village	If evidence is emerging, that the inclusion of poorest households is not respected, the issue is raised to the

[10] The Ethnic Group Development Plan (EGDP) is the equivalent to the Indigenous People's Development Plan (IPP). In Lao PDR, the term "ethnic groups" is generally used to refer to what in other contexts is called "indigenous people".

		implementations does mention the need to try and include “60% of the poorest households” in the meetings (number from ESIA).	project (case by case)
Sexual Exploitation, Sexual Violence, Sexual Harassment	A code of conduct can be redacted within each contract related to the project for project implementers, villagers (as workers) and for the business partners. A plan of sensitization/awareness rising about SEAH could take place in the villages and the districts.	GRM could be used for this kind of grievance. Criteria for Eligible Grievances and Exclusions doesn’t exclude SEAH related grievance. Criteria for Eligible Grievances and Exclusions actively include SEAH related complaints	As a very sensitive matter, all SEAH grievances shall be evaluated case by case, involving Lao Women’s Union, and Lao justice could be brought upon it if it is needed. Procedures for reporting of cases of SEAH will be put in place and the LWU will be trained accordingly, including safe and ethical documentation of such cases.
Equal access to Market	The safeguards team develops “Business Partner screening” tools which will be used with every single potential “match making” / client company and with every “Matching-Grant” / investing company. Passing the screening process is required before any agreement is made with the project and the companies are introduced to the project’s beneficiaries. One of the main goals of the screening is to ensure gender balance and fair participation of ethnic minorities and poor people.	The agriculture teams (PSAP teams) implement follow up visits to farmers to assess how the funded activities are actually carried out by the selected beneficiaries. These visits will include field/garden visit and questionnaires. The follow up of implementation of the Matching Grant companies' work will be done by the technical assistance company contracted under the project. PSAP teams can also follow up during their follow up visits to villages. Discussions with Village chiefs and villagers alike will be needed.	For the companies that receive matching grants, the technical assistance company contracted under the project will ensure that activities are implemented according to the business and investment pan.
Understanding of the project	An assessment of language capacities of each village has to be done at a very early stage (FPIC 1). Local languages will be used in village meetings as needed according to the results of the assessment of language capacities.	For every key project intervention a self-assessment understanding questionnaire has to be established.	If understanding is insufficient among the population, issue is raised to the project (case by case).

	All project activities must provide access to information in appropriate ethnic languages, at the very least providing a translator for meetings. Information dissemination campaigns must make use of images, cartoons, drawings, as well as clear and simple language, to support the comprehension for those who are less literate[11].	Lao language PowerPoints and posters with images are used in major activities of the project as well as for the GRM and its introduction to the villagers.	
Respect of ethnic traditions, values and customary land use	During the FPIC and the PLUP processes, it is needed to assess whether forest protection activities will have any negative impacts on ethnic people's ability to gather NTFPs for domestic or commercial use, and ensure continued access to land, forest and natural resources to avoid income loss and to ensure food and nutrition security.	The agriculture teams (PSAP teams) implement follow-up visits to farmers to assess how the project activities respect or not the ethnic customary land use. Small group meetings at a village level, with appropriate translators or ethnic language speakers, with village groups split by gender, to discuss potential impacts of project activities, both positive and negative, before the commencement of said activities. Clear records must be kept demonstrating this consultation has taken place.	The FPIC and PLUP are implemented upstream to avoid to begin forest and agricultural activities without being sure that all ethnic traditions, values and customary land use will be respected.
Availability of land to practice traditional land use forms, including rotational agriculture	During the Land Use Planning process, sufficiently enough land needs to be allocated for agricultural activities, accommodating traditional land use forms.	During follow-up visits to monitor the implementation of the Land Use Plans, it needs to be verified, the community has enough access to agricultural land.	Adaptation of the Land Use Plan to ensure the access of the community to enough access to agricultural land.

Additional safeguard management approaches

- Meaningful consultation to be conducted at village level to enable participants to opt-out of project activities (ESMP Action 4);
- Ensure careful records are kept of all village interactions, and all district and provincial meetings, including breakdown by ethnicity and gender
- All project interventions must provide documentation that will be developed by the ESM Team to show that data collection, participation, implementation and monitoring have been disaggregated by gender and ethnicity.

[11] Ensure effective communication/training material. The project will develop visuals and media materials that focus on the real-life situation in the targeted villages. When the training is conducted, the project will focus on in-depth understanding of policy objectives and will "adjust" explanations of forest policy statements inthe local languages of the ethnic groups as needed. This will ensure mutual understanding and practical implementation as well as an awareness of project information.

- Consultation and communication in a language that the ethnic group understands. Implementers are asked to involve relevant members of the community (e.g., Village Chief Nayban, …) to help ensure good understanding by all participants.
- Respect ancestral and spiritual land and forest use and remain sensitive to customary use of land by the community, especially ethnic groups, and ensure rights remain to conduct ritual ceremonies (that often take place in the forest);
- Preservation and respect of indigenous knowledge, including traditional knowledge and use of medicinal plants, local adaptation practices;
- Special measure towards the landless and vulnerable in accessing/gaining project benefits are to be considered, as described in the guidelines for establishment of the Village Land and Forest Management Committee (VLFMC).
- Villagers are able to express concerns or grievances and have them answered within a reasonable timeframe (See Action 5: GRM).
- Annex 1 lists all the "measures" to be implemented toward ethnic groups with the aim to avoid, minimize and mitigate negative impacts and enhance positive impacts and opportunities. Since some of these measures are already part of this ESMP, as part of the Inception Phase of the Safeguards assignment, an integration of these measures into the ESMP is to be carried out.

Timeframe

Throughout the life of the project.

Responsibility

GIZ, NPMU, PPMU and DPMU, supported by GoL counterparts at all levels (Agriculture and Forestry, Natural Resources and Environment, Planning and Investment, Lao Front, Lao Women's Union) as well as village committee members.
NPMU responsible with support from social and environmental safeguards technical working group.

Counterpart inputs

NPMU to provide support and facilitate communication.
PPMU and DPMU to support implementation of project interventions, including data gathering, after participating in training workshops.
Mass organizations to be invited to participate in the relevant steps of the project.

Programme inputs

ESM Team
IPP Consultant
FPIC activities (see ESMP Action 4)
FPIC expert consultant support
Data collection expert consultant
Database design consultant
District and provincial level trainings
Graphic designers to work with project staff to make documentation available for less-literate people
Translators/ Village Facilitators (if district staff do not have necessary skills for translation)

Indicators (including Targets and Method of data collection)

Main indicators should include but not limited to the following:
Data at the village level:

- Consultation occurs in each village and each project site, with records kept of every meeting demonstrating details such as participants (disaggregated by gender and ethnic

backgrounds), location and time.

- All project information disseminated to communities take Lao language capacity into consideration and provides visual formats. (Lao Language level check to be done as early as FPIC 1)
- The set of ESM data collection tools developed by Safeguards team and filled by implementors for community level activities must be filled out accurately after 80% of meetings in the first year, and for 95% of meetings by end of year 2. This includes:
    - Language used in meeting,
    - Gender and ethnic groups of participants
    - ESMP checklist used prior to implementation.
    - Villager self-assessed positive understanding
- Target for women participation in community meetings is set to 40% which is given as "standard" to implementers.
- Villagers are asked about their comprehension after community meetings. At least 80% of attendees are able to self-assess positive understanding.
- The project does not contribute to harming culturally significant landmarks.

Data at the Counterpart and Programme levels:

- Training workshop attendance lists with number of PPMU and DPMU representatives attended.
- Participation in training workshops for implementers is 90% over the project lifetime.
- Post-workshop questionnaires indicating 80% participants satisfied with information disseminated and that 80% of participants feel information is relevant and useful for their practical work.
- Alternative Indicator: % of implementers having participated in ESMP training (not separate ESMP trainings but trainings in which the ESMP content has been integrated).

9.5. ESMP Action 5: Land Use Issues, Land acquisition and Involuntary Resettlement:

Objectives

The main objective of this action is to ensure that no land-use related issue hinders the project's goals or the beneficiaries' livelihood at any level.

This includes the following:

- No **resettlement** is foreseen in target villages
- Major negative impacts on Forest areas (e.g., by **investments**) are foreseen and taken into account.
- Farmers don't lose their land as result of the **project (PLUP), matching-grants.**

Conceptual background

Overall concepts

As **land ownership, including traditional use**, is not always clearly defined, determination of land and forest use during the PLUP and VFMP implementations can prove challenging, with conflicts and misunderstandings arising between farmers or between villages.

If competing land uses from **concessions and investments** for mining, hydropower, roads, agriculture etc., are not monitored and taken into account before and during project's activities, considerable time and funds could be wasted if land, including forest is taken over in the future.

The same concept applies to **relocation**, if it was not foreseen and work has started in the village, considerable time and funds would be wasted if the village would be moved to another location.

Unintended Negative Impacts

As a result of the new Land Use Plans and Village Forest Management Agreements, farmers might lose access to their previously used / owned lands. If these issues are not detected, taken into account and steered towards resolution by the implementers during the planning process, households could find themselves in precarious situations. This could, in turn, drive them to disregard the newly developed land and forest use plans, for subsistence needs.

The project may unknowingly cooperate with **business partners** that knowingly or unknowingly are engaged in **unethical** practices related to land use, especially for investors in the « matching grants » which might result in attempts of land-grabbing.

Even though the risk of **chance finds** is very low, as no construction work provided by contractors is planned in the activities to be funded by GCF; Forest Management work done by villagers or Irrigation work funded by ADB, associated to possible changes in Land Use caused by the new PLUPs, might lead to discovery (Chance Finds) of elements of cultural and / or historical significance. In this case, the "Chance Finds Procedure" found in Annex 6 is to be implemented by the relevant stakeholders and an adapted monitoring is needed.

External risks

Insufficient information about economic investments in private sector including large-scale agricultural projects, and other investments that require land use allocation. This directly influences future land access, forested areas, as well as the structure of current value chains in the areas. This includes failure to recognise "legal" or "semi-legal" deforestation through concessions of any type.

In a similar way, Government plans for village consolidation, merging, and/or relocation can make substantive changes in project activities.

Note: PLUP (and VFMA) do not confer legal tenure security unless put into new laws and regulations. However, the project does not work directly on land titling and land tenure laws.

Safeguard management process

Main safeguard framework:

Safeguards aspects	Pre-emptive mitigation	Monitoring (+ source of data)	Mitigation
Economic investments	An economic investment survey is done in all project areas, to uncover the extent to which large-scale economic investments are planned, including in the GoL SEDPs, and to assess the impact on land and local environments to monitor land-use conflicts. The Departments interviewed: 1. Natural Resources and Environment 2. Planning and Investment 3. Agriculture and Forestry 4. Energy and Mines 5. Industry and Commerce 6. Public Works and Transportation	The investment survey is updated yearly.	The results of the survey are presented to the Project, and the Implementers are reminded by the National Advisors to actively take into account findings of survey in the Land Use Planning activities.
Resettlement / Relocation	A District and Provincial level resettlement and relocation survey is done to uncover the extent to which villagers may be moved for administrative or investment purposes(including villages, which may lose access to land, but will not have to move household buildings). The Departments interviewed are: 1. Natural Resources and Environment 2. Planning and Investment 3. Agriculture and Forestry 4. Energy and Mines 5. Industry and Commerce 6. Public Works and Transportation	The resettlement /relocation survey is updated yearly.	Villages to be resettled are removed from the list of target villages. Partial relocations are to be addressed case by case.
Business Partners screening and agreements.	The safeguards team develops "Business Partner screening" tools which will be used with every single potential **"Matching-Grant" / investing company.** Passing the screening process is required **before any agreement** is developed with the project.	The follow up of implementation of the Matching Grant companies' work can be done by the PSAP and VFMP teams during their follow up visits. **Discussions with Village chiefs and villagers** alike will be needed.	For the companies that receive matching grants, **penalties** can be put in place regarding their funding and contracts/agreements should be **enforced via legal procedures** if the need arises.

Participatory Land Use Planning	- For all target villages, the **PLUPs** are developed/ updated in a **participatory** manner, by definition. This allows to detect and avoid/solve any issue that could arise from the new allocation of land use. - In practice, in case there is any field that needs to be compromised or relocated, the village committee in conjunction with PLUP team need to take note of all the names of affected individuals/households and need to **publicly inform** all the villagers during the wrap-up meeting.	- In the PLUP **initial records/reports**, any specific issue raised during PLUP process is mentioned in "Summary of field activities by the Planning Team", which is sign by both the village chief and the implementers at the end of the process. - PLUP **follow-up visits** (1.5.3.4) are done after actual implementation of the new plans has started. This allows assessing the level of compliance to the new PLUP as well as provides the opportunity to detect and solve conflicts that would have appeared after the initial step.	Note: Mitigation for 3) still needs to be discussed - Any identified concern is reported to Project Advisors who investigate and arrange to solve issue - If the PLUP follow-up finds an issue it is reported in 1.5.3.4 (PLUP compliance check), solutions have to be considered case by case and recorded.
Participatory Land Use Planning and Forest Management	For all target villages, the **PLUPs** and **VFMP** are developed in a **participatory** manner, by definition. This allows to detect and avoid/solve any issue that could arise from the new allocation of land use.	The **Grievance Redress Mechanism (GRM)** provides ways to any stakeholder to express and communicate grievances to the project (See GRM Action). The GRM system is operational 24h/24 and 7days/week, new input of grievances is monitored daily by the Safeguards Team.	Note: Mitigation for 3) still needs to be discussed - If land issues are raised in GRM, it must be addressed and resolved. - NPMU + Safeguards Team oversees functionality of GRM mechanism. - GRM should have a record of issues either found during initial PLUP or its Follow up visits and grievance should be addressed.
Chance Finds of Historical / Archaeological elements	Chance Finds procedure (annex 6) is to be translated into Lao language and provided to all Project owners and target villages at the project start.	Safeguards team to develop and integrate function in monitoring system in order to record and follow up any "chance finds" that would occur.	Reporting to the project and the implementers to address any detected issue.

Timeframe

All initial surveys should be completed within first 18 months of project commencement

Chance Finds procedure is to be translated into Lao language and provided to all Project owners and target villages at the project start.

Hiring of Agri-Business advisor (immediately after project start) and conducting mandatory partners screening before any agreement with private partners.
Partners screening happens on year 1-2 before any agreement is made with matching-grants partners.

Responsibility

Counterpart inputs

- PPMU and DPMU to coordinate relevant GoL counterparts to report on investment surveys and resettlement plans
- DPMU, as well as LWU and LFND, as part of the initial work of each major work area, engage in participatory socio-economic, village profiling and planning work

Programme inputs

- Transport for DPMU to visit each village
- ESM Team
- Agri-business advisor and technical assistance company contracted under the project: "Providing business development measures to local Agri-MSMEs and catalysing private sector investment in value chains" to identify, vet and support private partners.

Indicators (including Targets and Method of data collection)

1- Investment and Relocation surveys are completed before any physical implementation takes place in villages.
2- No project intervention in villages relocated or to be relocated (survey)
3- Information on upcoming investments in target villages is available annually and shared with implementors (survey)
4- No villager loses land from project activity without compensation (either from PLUP, VFMP, matching grants)
5- Partner screening tools are created
6- Only potential partners who have passed the partner screening can enter in agreement with the project. (Business partners with problematic ESMP track record are not selected for collaboration with the project)

9.6. ESMP Action 6: Biodiversity

Objectives

The main objective of this action is to avoid impacts on biodiversity and ensure the maintenance of ecosystems services benefits in all of the **project**'s target areas.

This includes:

- **Dissemination of information on ecosystem services.**
- Prevention of the use of chemicals due to project intervention focusing on its effect on biodiversity (see Health and Safety 1).
- Avoidance of mono-cropping on large areas due to project interventions.

Conceptual background

Overall concepts

Ecosystems, and Biodiversity within them, provide a wide range of "services" to human populations, such as, but non-exhaustively, food, shade, flood and drought resilience, air purification, construction material… Preserving these is necessary to ensure a sustainable development and relationship between populations and their environment.

As **overall goals** of the project are to strengthen forest protection and forest management strategies at–village / district level and to preserve forest resources for overall national and provincial benefit, the protection of **biodiversity and ecosystem services are inherent** to it.

However, creating a **Biodiversity Action** aims to safeguard those projects' interventions, even though intended to help preserve forest and biodiversity, do not **develop into** the implementation of activities **harmful to biodiversity**.

Notably, Biodiversity must be considered when:

- Promoting and implementing agricultural activities.
- Planning for business partnerships.
- Planning Land use and Forest Management.

Unintended Negative Impacts

By financially and technically supporting the development of new plots for a range of "white-listed" products and creating **a link "match making" with clients** for the said products, the project might unwillingly encourage some farmers to use biodiversity-harmful agro-chemicals or methods, to try and increase their production as a **response to a better and secured market** opportunity.

The project may unknowingly cooperate with **business partners** that knowingly or unknowingly are engaged in **unethical or harmful** activities (for example promote agriculture in such a way that leads villagers to use increased amounts of chemicals, to use chemicals in an unsafe manner, or to use chemicals that are illegal under Lao law).

Forest classification which occurs at a local village level might not take into account forest science and biodiversity contents. Moreover, changing categories of land (PLUP) into plantations might reduce biodiversity if done without careful information.

External risks

GoL policies can focus on GDP and income generation at the expense of protecting natural biodiversity.

Safeguard management process

Main safeguard management framework

Safeguards aspect	Pre-emptive mitigation	Monitoring (+ source of data)	Mitigation
Promotion of Biodiversity-friendly agriculture.	The PSAP agricultural extension approach includes both: - **Awareness raising** to farmers on effects of chemicals and monoculture on biodiversity. - and **Promotion** and financing of **chemical- free** and biodiversity-friendly "white-listed" agricultural activities. - Promote multi-cropping approaches to promote sustainability through training. - In order to promote long-term sustainability of the	The agriculture teams (PSAP teams) implement **follow up visits** to farmers to provide advice as well as assess how the funded activities are actually carried out by the selected beneficiaries (including the use of multi-cropping and land-use changes). These visits will include field/**garden visit and questions**. Establish monitoring system to follow-up on public-private financial	The implementers **remind farmers** about the risks of chemical use and mono cropping towards biodiversity and the importance of multi-cropping.

	approaches, promote financial mechanisms to combine public and private capital. - Implement regular monitoring of land use changes.	mechanisms.	
Awareness on Biodiversity and Ecosystem Services	During the first meeting with the potential future beneficiaries (FPIC), the implementers introduce and **explain the concepts of Ecosystem Services and Biodiversity** protection as well as their link to Sustainable NTFP production.	The awareness raising event is carried out during FPIC1, therefore FPIC **participation data** is used to assess the extent of the dissemination.	No specific mitigation needed here, as FPIC is a **fully mandatory** pre-requisite process which requires the **highest possible attendance** during its implementation.
Business Partners screening and agreements.	The safeguards team develops "Business Partner screening" tools which will be used with every single potential **"match making" / client company.** Passing the screening process is required **before any agreement** is made with the project and the companies are introduced to the project's beneficiaries.	The agriculture teams (PSAP teams) implement **follow up visits** to farmers to provide advice as well as assess how the funded activities are actually carried out by the selected beneficiaries. These visits will include field/**garden visit and questions**.	The implementers **remind farmers** about the risks of chemical use and mono cropping towards biodiversity.
Sourcing of Seeds and Planting Materials	Sourcing of seeds needs to be done in a sustainable manner, ideally by locally sourcing seeds ad planting materials	Monitor sources of provided seeds and planting materials.	Feed back any problems with local sourcing to agricultural teams.
Business Partners screening and agreements.	- The safeguards team develops "Business Partner screening" tools which will be used with every single potential **"Matching-Grant" / investing company.** Passing the screening process is required **before any agreement** is developed with the project. - The **contents of the agreements** between the project and the "matching grant company" clearly states major **biodiversity risk mitigation criteria** such as found in Funding proposal: "On land used for village agroforestry and forestry, 70% of the land will be allocated to	The follow up of implementation of the Matching Grant companies' work can be done by the PSAP and VFMP teams during their follow up visits. **Discussions with Village chiefs and villagers** alike will be needed.	For the companies that receive matching grants, **penalties** can be put in place regarding their funding and contracts/agreements should be **enforced via legal procedures** if the need arises.

	industrial trees, 20% will be buffer zone and at least 10% of planted tree species will be native to Laos (PS6)" (see Funding proposal, G.1.3)		
Aspects specific to the Expansion of Rubber	Make sure, through extension services and training, that agroforestry and mixed cropping are done to improve soil quality, diversity income for smallholders and food security. Only use agricultural land, not forest lands for rubber plantations and do not promote large-scale investments.	Monitor the land types used for rubber promotion and the use of mixed cropping (as per the white list requirement).	Feed back any problems with local sourcing to agricultural teams.

Additional safeguard management approaches.

On a global level, the project is promoting conservation of the forest and sustainable agro-forestry which has the direct consequence to protect and enable existing biodiversity (species) to thrive. This is opposed to activities/investments that would lead to destruction of forested area which would therefore require a more thorough monitoring and control.

Because of the nature of the programme / projects, NTFPs should not really be seen as safeguard now, but more as an outcome of this conservation project.

However, as due diligence is necessary, village-specific data on the resources available locally are collected during PLUP and VFMP implementation. A basic survey is done on availability of NTFPs and wild animals during the PLUP. Also, “Transect Walks” and “Observation Point” methods are used to gather data on biodiversity during the Village Forest Management Planning (VFMP).

Support **training** for provincial and district technical staff must be provided to **better understand biodiversity protection** (for example when they promote rubber or banana plantations as environmentally neutral). In general, Biodiversity is considered/embedded within the guidelines of all major work areas FPIC/PLUP/VFMP/PSAP, which includes the training of the teams (pre-implementation) and the participatory implementation of the approaches themselves. Notably, but not only, Biodiversity must be considered in **boundary demarcation** at any level and included in every type of land use planning especially in forest management planning.

To have a deeper understanding of the risks linked to Rubber plantations, to sourcing of seeds and planting materials and to Agri-MSMEs and the private sector, please refer to section 5.3.5 of the ESIA.

Timeframe

Training of teams on Biodiversity and Ecosystem Services concepts happens before any implementation. (Year 1, along with FPIC training, before first encounter with target populations).
Awareness spreading to target populations starts directly at first contact (FPIC). (Year 1)
Promotion of Biodiversity-friendly practices continues during the whole project.
Hiring of Agri-Business advisor (May 2022- December 2023) and mandatory partners screening before any agreement with private partners.
Partners screening happens on year 2-3 before any agreement is made, either for match-making of matching-grants partners.

Responsibility

Counterpart inputs

NPMU and PPMU
Field activities planning and implementation, including data collection.

Programme inputs

ESMP costs (ESM Team)
Agri-business advisor: “Providing business development measures to local Agri-MSMEs and catalysing private sector investment in value chains” to identify, vet and support private partners.

Indicators (including Targets and Method of data collection)

- Awareness raising on the concepts of Ecosystems Services is provided in all target villages and to the largest possible attendance (FPIC1 participants lists = number of people reached by Ecosystem services awareness)
- Partner screening tools are created
- Only potential partners who have passed the partner screening can enter in agreement with the project. (Business partners with problematic ESMP track record are not selected for collaboration with the project)
- "On land used for village agroforestry and forestry, 70% of the land will be allocated to industrial trees, 20% will be buffer zone and at least 10% of planted tree species will be native to Laos (PS6)" (Ref. AME Indicator 656, FP G.1.3 Risk Mitigation Approach)
- Monocropping on less than 30% of « priority 2 PSAP » areas (to be monitored on a sample of PSAP farmers with established activities)

9.7. ESMP Action 7: Health and Safety

Objectives

The main objective of this Action is to ensure that Health and Safety are fully promoted and guaranteed during every **project** intervention and that **project** counterparts, staff, participants, beneficiaries and consultants are not exposed to potentially hazardous material in the course of their work for this project.

This includes:

- No use of chemicals due to project intervention focusing on its effect on health (see Action 7: Biodiversity).
- Identification of the types of chemicals frequently used by communities at the project sites.
- Screening of business partners to ensure Health and Safety specifications will be followed.
- The village selection criteria preventing working in areas with high UXO risk.
- Compliance with preventative procedures with regards to UXO.

Conceptual background

Overall concepts

Creating this Health and Safety Action aims to make sure no one involved in the project interventions and activities endures unhealthy and/or unsafe conditions.

Villagers living standards should not get worse because of the implementations of the project. The main point is the opposite: to improve their living conditions while protecting nature. In this matter

this Action is closely related to Action 7: Biodiversity.

The following principles are applied to grant the objectives of this Action and the project:

- Provides **precise information** about the danger of pesticide and other chemicals, about the mono-cropping and the benefits of other agricultural practices. project activities will not provide trainings on the use of chemicals; promotion should focus on non-chemical agricultural practices.
- **Avoids** that any village with **high UXO risk** is selected.
- Screens **potential business partners** for purpose of avoiding any unhealthy or hazardous agricultural practices promoted or implemented by the said partners.

Unintended Negative Impacts

- Promoting agriculture may potentially lead to villagers **using harmful pesticides or herbicides** but this impact is difficult to measure). I-GFLL can monitor and try to prevent an increased use of chemicals that would be a consequence of its activities (as PSAP and the Business partner screening are fully non-chemical), however the project has not planned nor would be able to control the practices of farmers on other crops / lands and in neighbouring villages or areas. All the project can do is suggest and teach; only the government has ability to actually enforce any kind of regulation that would mitigate those UNI.
- Villagers in all three villages visited during the ESMP consultations (One village each in Oudomxay, Sayabouri and Houaphan) mentioned the **issue of unregulated and excessive chemical use**. All of the visited villages expressed their concerns on relying on the use of chemical products to boost agriculture production, which have resulted in land degradation. They also expressed their dislike of having monoculture in the areas.
- Project may unknowingly cooperate with business partners that knowingly or unknowingly are engaged in **unethical or harmful activities** (for example promote agriculture in such a way that leads villagers to use increased amounts of chemicals, to use chemicals in an unsafe manner, or to use chemicals that are illegal under Lao law). This could lead to a high pesticide use or an unregulated chemical use (without understanding of proper application techniques and doses).

External risks

- Continued **environmental risks** from irrigation systems, cash crops, fodder and livestock production systems, including from use of pesticides (ERPD).
- Risk of accidents caused by disturbing previously undetected **UXO**.

Safeguard management process

Main safeguard framework

Safeguards Aspects	Pre-emptive mitigation	Monitoring (+ source of data)	Mitigation
Chemical bio-hazard awareness	During PSAP, it is needed to raise awareness about effects of chemicals on health and on biodiversity.	PSAP follow-up visits to farmers.	Remind farmers about risks of chemical use and mono cropping PSAP/VFMP tools
	Implementers are supported to promote non-use of chemicals. This is a key criterion for participating in PSAP. They promote awareness of chemical affects and hazards of over-use through trainings.		

Good and sustainable agricultural practices	Support dissemination of legal standards on chemical use in agricultural practices in Laos. Provide awareness of alternative agricultural techniques (organic?), and the associated markets for these crops.	PSAP follow-up visits to farmers.	Remind farmers about risks of chemical use and mono cropping PSAP/VFMP tools
UXO risks avoidance	The most effective preventative measure has been improved access to information about where UXOs have been cleared, and where UXOs may still be present in the ground.	If there are report of UXO-related accidents.	Discuss insofar to continue I-GFLL work in this village.
	The project will comply with preventive procedures put in place by the GoL, which means that project sites will need to be confirmed clear of UXO before any activities can be undertaken. Villages with high UXO risks are not selected to be part of the project. The UXO protocols found in Annex 4 are to be implemented in all identified high-risk locations.	If there are report of UXO-related accidents If UXO protocol is needed and implemented, report of implementation.	Discuss insofar to continue I-GFLL work in this village.
Respect of Health and Safety measures by the business partners	Promote environmentally friendly value chains, ensure business partner screening includes due diligence checks into potential business partners environmental policies and practices. The safeguards team develops "Business Partner screening" tools which will be used with every single potential "match making" / client company and with every "Matching-Grant" / investing company. Passing the screening process is required before any agreement is made with the project and the companies are introduced to the project's beneficiaries. One of the main goals of the screening is to ensure Health and safety measures will be respected and promoted.	The follow up of implementation of the Matching Grant companies' work can be done by the PSAP and VFMP teams during their follow up visits. Discussions with Village chiefs and villagers alike will be needed.	For the companies that receive matching grants, penalties can be put in place regarding their funding and contracts/agreements should be enforced via legal procedures if the need arises. PSAP/VFMP tools

Additional safeguard management approaches

- The **business partner screening** is done to safeguard a number of issues: negative impacts on biodiversity, no use of chemicals, social responsibility (ethnic group inclusion, gender inclusion).

- The **proposition/selection of villages** is done by the **GoL**. All target areas have been approved by GoL to be low risk of UXO occurrence.
    - **Relevant maps** have been made available by the government according to the specificity of each location
    - UXO criteria are integrated in the **village selection methodology** and every selected village has been validated by the government with the UXO risk considered.
    - In case it cannot be avoided, and the project must work in a village where the UXO risk is considered significant, a protocol based on "**Protocol of UXO Site and Safety Brief"**, found in Annex 4, must be followed as soon as the first project activity is implemented in the said village.
    - If there is a case of **UXO accident**, it needs to be discussed whether I-GFLL implementation will continue in this village or not.

Timeframe

- Low UXO risk confirmed prior to any activity taking place, (including FPIC).
- Hiring of Agri-Business advisor (May 2022- December 2023) and mandatory partners screening before any agreement with private partners.
- Promotions of non-chemicals use to implement through the entire project duration.

Responsibility

Counterpart inputs

- The district authorities select villages where the UXO risk is low, as mentioned in the "village selection criteria" document. Where UXO related maps are available, they are made available to the Project.
- Implementers to implement activities
- PAFO, PoNRE, DoNRE and activity implementation
- Representatives from LWU and LFND to support work

Programme inputs

- GIZ
- Agri-business advisor: "Providing business development measures to local Agri-MSMEs and Catalysing private sector investment in value chains" to identify, vet and support private partners.
- ESM team

Indicators (including Targets and Method of data collection)

- Low UXO risk confirmed by the government in all villages before any work starts.
- Chemical usage basic data collection completed in each village;
- 50% of PSAP participants understand the risks of using chemicals
- Self-assessed use of chemicals by villagers have not increased as a consequence of project supported activities
- Partner screening checklist created.
- Potential partners who have passed the partner screening checklist can enter an agreement with the project, business partners with problematic ESMP track record are not selected for collaboration with the project.

9.8. ESMP Action 8: Risks related to adaptation and mitigation of climate change

Objectives

The main objective of this action is to safeguard **project** outcomes and impacts from external risks related to climate change.

This includes:

- Preserving the ecosystems affected by the project.
- Maintaining the resilience of people and communities participating in the project.

Conceptual background

Overall concepts

Climate change projections for the Mekong region as a whole, including the project area, based on a range of different scenarios, models and geographical scales, agree that the Mekong sub-region is predicted to experience a temperature rise of between 0.01oC and 0.036oC per year. **Seasonal precipitation patterns** will likely change, pointing to increased precipitation although significant risks of **drier conditions** and a **longer dry season** also exist, and increased incidences of **extreme weather events** such as typhoons

Unintended Negative Impacts

The project should **not result in unintended negative impacts** that increase GHG emissions or exacerbate the vulnerability of local people or ecosystems. Its agriculture support in general does not contribute to expanding agriculture, but improves skills, diversification and efficiency for using existing agricultural lands. Sustainable Forest Management (SFM) and Forest Landscape Restauration (FLR) will **not contribute to diminishing resilience or adaptive capacity**. The project further has the potential to promote:

- The integration and consideration of climate risks in land-use planning to reduce the exposure of communities and economic activities
- Flood and drought-resilient crops and varieties through capacity building measures to increase the adaptive capacity of farmers.
- Connectivity between habitats to increase the resilience of migratory species and ecosystems as part of FLR

External risks

The overall effects for agriculture and forests in the context of this project will likely be low, because the literature found climate impacts related to rain and water until mid-century and end-century to be considered weak.[12]

The Climate Risk and Vulnerability Assessment (CRVA) examined risks from both climate change and current climate variability. The findings suggest the following potential impacts of climate change on the project area:

- **Temperature** increased
- Annual **precipitation** signals both for increase and decrease in different seasons (signals for increase in more studies)
- Shifts in seasons, therefore;
- **Agricultural productivity** decreased; existing **food scarcity** increased
- Annual **runoff** increased, dry season runoff increased and therefore;
- Potential for increased **flooding** (not quantified)

[12] Climate Service Center Germany (2015): Climate-Fact-Sheet Cambodia – Laos. Updated Version.

The consulted studies do not warn of climate-induced risks for forest ecosystems. Research suggests that (tropical) forests are generally rather resilient to climate change.[13] However, this topic may be under-researched – including in Lao PDR. Deforestation and forest degradation however exacerbate the vulnerability of these ecosystems and contribute to the accelerated loss of vital ecosystem services. The projections for Lao PDR indicate some potential future stressors for forest ecosystems such as increased **drought**, which could suggest a higher risk of more **wildfires**, changes in species composition or **loss of biodiversity**. Climate change might affect patterns of natural disasters such as **pest plagues** (rats, insects, crop diseases[14]) which could wipe out harvests. Nevertheless, it remains generally uncertain, how the forest ecosystems especially in Northern Lao PDR will be affected.

Safeguard management process

Main Safeguards framework.

Safeguard aspects	*Pre-emptive mitigation*	*Monitoring (+ source of data)*	*Mitigation*
Wildfire management	Management plans for village forests (VFMP) and protected areas are developed by the project under Component 3, the management plans shall include adaptation measures where appropriate, e.g. improved fire prevention measures (fire breaks), fire control or FLR measures with adaptive native species.	The yearly on-site monitoring of the implementation of the Annual Operational Plans (AOP) (Ref 3.1.2.3) (VFMP) will allow to assess that the relevant measures are properly in place.	- The implementation of Forest Management activities described in the villages' AOPs is funded via a cash for work system. - The follow up of this cash for work system versus the monitoring of the actual implementation, as well as the conditions of bonus payments will offer a leverage to steer activities back on the right track if issues arise.
Droughts	- Specific support and attention are given to **watershed protection,** starting with land use planning (PLUP) and forest management plans (VFMP) that include ecosystem-based adaptation measures, including riverbank restoration, and forest landscape restoration. - In parallel to the PLUP and VFMP elements of the project, the Activity 2.3 managed by ADB focuses on the watersheds: "Sustainable rural infrastructure and Watershed Management" This can include capacity building and training on sustainable water harvesting techniques and reducing water needs through	- The yearly on-site monitoring of the implementation of the Annual Operational Plans (AOP) (Ref 3.1.2.3) (VFMP) will allow to assess that the relevant measures are properly in place. - ADB activities are monitored through a separate system.	- The implementation of Forest Management activities described in the villages' AOPs is funded via a cash for work system. - The follow up of this cash for work system versus the monitoring of the actual implementation, as well as the conditions of bonus payments based on village forest cover will offer a leverage to steer activities back on the right track if issues

[13] For example: https://www.nature.com/news/tropical-forests-unexpectedly-resilient-to-climate-change-1.12570.

[14] It was recently reported, for example, that a fungal disease, "fusarium wilt," has badly affected banana plantations in different parts of Lao PDR. See https://apsjournals.apsnet.org/doi/10.1094/PDIS-08-17-1197-PDN.

	crop mix in partnership with FAO, and IFAD.		arise.
Droughts	- PSAP activities further include measures within the whitelist that will increase soil moisture, support micro-climate buffering, and strengthen the resilience of farmers to drought (see the FS in Annex 2a for more detailed information) - In parallel, support to dry-season irrigation schemes is provided in Component 2 in partnership with ADB	- The monitoring of PSAP farmers through on-site meetings and field/garden visits will allow to assess the degree of implementation of the activities. - ADB activities are monitored through a separate system.	Remind farmers of sustainable agriculture approaches and their benefits.
Flooding and Landslides	Land use planning supports the planning, adoption and monitoring of sustainable land use processes that can help reduce risk (for example, **increased forest cover** can reduce the risk of flooding, sedimentation, or landslides in certain contexts).	Forest cover monitoring is checked through satellite imagery every 2 weeks, on-site visits and investigation by GoL are triggered if issues are detected. - The yearly on-site monitoring of the implementation of the Annual Operational Plans (AOP) (Ref 3.1.2.3) (VFMP) will allow to assess that the relevant measures are properly in place.	- Forest covered area degradation and non-compliance with an approved PLUP may lead to fines by the GoL. - The conditions of bonus payments based on village forest cover will offer a leverage to steer activities back on the right track if issues arise.
Changes in Biodiversity	The PLUP and VFMP approaches raise awareness on and promote **restoration of degraded areas** and establishing **corridors between ecosystems** in order to support connectivity and natural resilience (part of FLR).	The yearly on-site monitoring of the implementation of the Annual Operational Plans (AOP) (Ref 3.1.2.3) (VFMP) will allow to assess that the relevant measures are properly in place.	- The implementation of Forest Management activities described in the villages' AOPs is funded via a cash for work system. - The follow up of this cash for work system versus the monitoring of the actual implementation, as well as the conditions of bonus payments will offer a leverage to steer activities back on the right track if issues arise.
Changes in Biodiversity	The PSAP approach and the "whitelisted products and agricultural practices" raise awareness on and promotes **diversification in agriculture** (in opposition to increasingly prevalent monoculture land-use in the Northern provinces).	The monitoring of PSAP farmers through on-site meetings and field/garden visits will allow to assess the degree of implementation of the activities.	Remind farmers of sustainable agriculture approaches and their benefits.

Maladaptation Risks	Screen practices for "maladaptation risks" (see ESIA section 5.3.7.) by conducting Climate Risk and Vulnerability Assessment in a participatory manner. Capacity building on climate risk and vulnerability and resilience building practices. Promotion of best practices that are not unprecedented in the project area. Use of native species and natural restoration in VFM, which will have strong adaptation benefits (aligned with Lao PDR's NDC). Site-specific farming model and species matching during the implementation of PSAP to ensure the adoption of suitable activities and practices.	Monitor, if maladaptation risks have materialized. whitelist includes detailed extension sheets that identify sustainable practices that will strengthen resilience (specifically selected for upland agriculture in Lao PDR) information is provided).	Mitigation will depend on the particular case.
Risk of increased deforestation and associated GHG emissions	The PLUP approach will support the development of land-use plans that aim to reduce deforestation in target villages. The PSAP whitelist promotes deforestation-free farming models. Bonus performance payments from VFAG also incentivize forest conservation.	Occurrence of deforestation will be monitored both through the Provincial Deforestation Monitoring Systems as well as by the PSAP teams during the implementation of the PSAP approach.	PSAP teams will ensure that no forest clearing occurs as a result of agricultural activities promoted under the project.

Additional safeguards management approaches

Sustainable Forest Management and REDD+ Support Project (F-REDD/JICA) are currently working on establishing a basic National Forest Inventory (NFI methodology), of which "specific stressors" are not part, but this methodology will allow the general state of the forest to be better observed.

Through PSAP approach and the "whitelisted products and agricultural practices", the project can promote risk mitigation processes, including, for example:

- Reducing shifting cultivation and increasing vegetative cover on slopes and in upland areas in order to help reduce erosion and sedimentation that contribute to riverbank cutting and riverbed rise downstream, as well as landslides in steep areas.
- Sustainable pest and disease management.

Regular and comprehensive monitoring conducted within the framework of the project at local level, including with various ethnic groups in order to benefit from their knowledge, can lead to early detection, follow-up and the identification of suitable management practices/adjustments as necessary.

The "Climate Risk and Vulnerability Assessment" is part of the proposal for the Project 2. This study would allow to update knowledge on potential climate impacts on agricultural crops and forest ecosystems, integrate monitoring-type activities in project monitoring framework, update affected project inputs to PLUP, SFM,FLR, and FFS accordingly.

Timeframe

The Climate Risk and Vulnerability Assessment has been conducted prior to the beginning of Project 2. The different approaches of the project listed above will follow the project's general implementation schedule such as Land Use Planning (PLUP) being started out first, after consent, then Forestry (VFMP) and Agriculture (PSAP) activities starting in parallel.
After 3 – 4 years, update knowledge on potential climate impacts on agricultural crops and forest ecosystems

Responsibility

Counterpart inputs

PPMU and DPMUs for field implementation and data collection.
Programme inputs
NPMU and GIZ to ensure global coordination.
ESM Team to monitor safeguards aspects.

Indicators (including Targets and Method of data collection)

Implementation of elements building resilience is monitored and reported such as:

- Setting up of wildfire prevention measures (Cash for Work system)
- Establishment of ecosystems corridors (Cash for Work system)
- Protection of forested watersheds (Cash for Work system)
- PSAP agriculture grants and actual activities implemented by farmers (diversification and sustainable "white-listed crops and practices", including paddy fields) (PSAP grants records)
- Forest cover area and increase as a result of project activities along with "bonus payments" delivered. (Bonus payment measured and recorded)

9.9. ESMP Action 9: Grievance Redress Mechanism (GRM)

As previously explained, Actions 1 and 2 in this ESMP explain the overall systemic set-up of the Safeguards system, Actions 3-8 elaborate on its 'technical' aspects (= the initial actions to avoid issues from the beginning / monitoring / mitigation in case they still occur).

However, even with a functional system in place, there might still occur situations in which a beneficiary or other stakeholder might want to submit a grievance. This chapter describes the details this Grievance Redress Mechanism (GRM):

Introduction

A functioning, transparent, and accessible Grievance Redress Mechanism (GRM) is an essential part of ensuring compliance with the Project's Environmental and Social Safeguards (ESS). The Project guarantees that communities which are affected or likely to be affected by the Project, will be informed about it (through FPIC 1,2,3) and that they have channels to raise their grievances, which may arise from project activities (i.e., GRM). It is also accessible to other stakeholders, for example project owners, CSOs, private sector companies.

The GRM is to be disseminated at an early opportunity in the stakeholder engagement process (i.e. during FPIC 2) in a way that is easily understood by diverse stakeholders, including women, those who are illiterate, various ethnic groups, and other especially vulnerable people. The GRM guarantees that stakeholders are fully informed on how to register complaints, including full contact details for anyone to lodge a formal complaint. This GRM is consistent with international standards and Lao law (i.e. National Feedback and Grievance Redress Mechanisms (NFGRMs)) and has been approved by the

National level of the Lao Front for National Development (LFND), which is also responsible for the overall FPIC process.

Stakeholders should first use the GRM process as developed and implemented by the project (see details described in this document). As a second option, grievant may refer to GIZ on Whistleblowing system (https://www.giz.de/tell-us). As final option, affected stakeholders may use the GRM process by the GCF itself (i.e., GCF Independent Redress Mechanism, https://irm.greenclimate.fund/).[15]

GRM Principles

The GRM helps ensure and embrace the following principles and actions:

- Protect the rights and interests of the participants, beneficiaries, and stakeholders (hereafter, "stakeholders") of the project;
- Adequately and promptly address grievances that arise during implementation;
- Confirm compliance with the relevant Lao Government and GCF Safeguards on environmental and social issues.

Criteria for Eligible Grievances and Exclusions

A grievance or complaint received by the project Safeguards Team will not be eligible if it falls into any one or more of the following exclusions:

- A grievance or complaint regarding activities in which the project had no (financial) involvement.
- A grievance or complaint regarding matters already concluded by any of the grievance mechanisms in place, unless the complainant has submitted new material information or evidence that was unavailable at the time the matter was previously considered.
- A malicious, frivolous, or fraudulent grievance or complaint.
- A grievance or complaint to gain competitive advantage.
- An anonymous grievance or complaint.
- A grievance or complaint regarding matters relating to the GCF's activities which are unconnected to a GCF funded project or project, such as matters relating to administration and human resource management.
- A grievance or complaint solely regarding the adequacy of the Project operational policies and procedures.

Specific complaints related to sexual exploitation, abuse and harassment issues reported to have occurred during project implementation will always be considered eligible and therefore investigated.

Confidentiality Measures

The GRM recognizes and respects a complainant's right to confidentiality (which extends to the confidentiality of an authorized representative when requested by the complainant, but subject to the Project Safeguards Team's consideration of the justification) including confidentiality of identities and information provided to the Project Safeguards Team. This is ensured by the GRM, including a hotline to the Project Safeguards Team, which can protect the complainant's identity.

In situations where the name and identity of a complainant or representative may need to be disclosed to process the grievance or complaint or to provide redress, the Project Safeguards Team will proactively consult with the complainant and/or the representative and will only disclose such information with their consent. Pending consultations with the complainant and/or the representative

[15] Stakeholders will be informed of this option and any grievant who wishes to pursue this pathway may do so. In these cases, the Safeguards Team will inform the grievant how to register a complaint through the GCF Independent Redress Mechanism.

regarding confidentiality, the I-GFLL Safeguards Team shall keep the identities of the complainant and the representative, and the information provided by them to the Safeguards Team, confidential.

Submitting Grievances

A grievant has 3 options to submit a grievance:

1) Submit the grievance to the Village Mediation Unit (VMU).
   note: VMUs must send copies of any complaint they receive to the Project Safeguards Team within five days of receiving it. The Lao Women's Union representative, member of VMU, will act as specific SEAH complaints communication channel who will then forward the grievance to the Safeguards Team either through the District LWU or the hotline.
2) Submit the grievance to an implementer of the project.
3) Call the hotline operated by the Project's Safeguards Team (Number 020 977 66 673)

For non-Lao speakers it is expected that most grievants will use the VMU mechanism, which enables them to report in their local language. In case the hotline receives a call in an ethnic minority language, the Safeguards Team needs to make sure that a translator is made available.

Informing beneficiaries about GRM

The three options to submit a grievance are shown in the poster in Annex 2, which is provided to each village during the FPIC 2 process and which is to remain accessible to all villagers during the lifetime of the project.

In addition to options for filing a grievance, the following aspects are explained to beneficiaries during FPIC 2: GRM principles; Criteria for Eligible Grievances and Exclusions; confidentiality measures; GRM Steps after filing a complaint.

It is to be clarified to the beneficiaries that specific SEAH issues arising during the project implementation are also to be reported through the GRM. It can be emphasized that for such issues, the LWU representative in the VMU at village level could act as a dedicated grievance reporting channel. Additionally, the confidentiality provided by the GRM hotline number could be a preferred option and always remains available.

Grievance Redress Mechanism Steps

The designed structure allows grievances to flow through an internal process from the village, to the district level until the national level, but also allowing information about grievances to be fed back to the more local levels (see Annex 3). Concerns should be addressed at the closest appropriate level to where the grievance occurs. Whenever a grievance is filed, a report on the grievance will be produced by the person receiving the grievance, utilizing a standard template (see section below).
The report will be provided to the Project Safeguards Team[16], who will oversee the process, maintain a record of all grievances filed, report on grievances filed and ensure they are adequately addressed. As a first step, the grievance is to be discussed within the project structure (i.e. with DPMU, PPMU, NPMU or PSC). If it is not possible to address the grievance within the project structure, the grievance will be forwarded to the grievance redress mechanism according to the National Feedback and Grievance Redress Mechanisms (NFGRMs), starting from VMU and handed on through the district, the provincial levels, in very rare cases up to the respective People's Provincial Assembly (PPA) or the National Assembly (NA).

The steps taken from the receipt of grievance to the resolution or grievance closure are outlined below:

[16] In case the grievance is submitted by hotline, it is the Projects Safeguards Team themselves writing the report.

Table 9: Grievance Redress Mechanism process

Grievance Redress Mechanism Steps	Description
1. Receive and register grievance	Stakeholders submit their grievances through the available grievance channels as described above. All grievances are registered by the receiving entity using a standard template (see chapter below). All grievances filed must be clearly documented and securely stored in the I-GFLL cloud database with limited access to the Safeguards Team.
2. Acknowledge, assess, and assign	The Safeguards Team must acknowledge receipt of the grievance to the grievant. As part of an internal assessment process the Safeguards Team must outline into the available template, how the grievance will proceed, assess the eligibility of the grievance, and assign organizational responsibilities to propose a response to the grievance.
3. Propose a response	The entity responsible for proposing a response (as assigned by the Safeguards Team in step 2), will then propose options to the complainant and any other related parties to address the grievance. This could include: i) direct organizational response/ action, ii) stakeholder assessment and engagement, iii) referral to a different mechanism (e.g. judicial grievance mechanism), or they could decide that the grievance is ineligible (see "Criteria for Eligible Grievances and Exclusions").
4. Agreement on response	Based on the responses proposed in step 3, the Safeguards Team and/or other entities involved to resolve the grievance will meet with the complainant and other related parties and try to reach an agreement that is acceptable to all parties. A meeting with the grievant should be prepared within 10 days.
If complainant agrees on response, refer to step 5, if not, refer to step 6	
5a. Implementation of response	The Safeguards Team will assign a relevant officer to oversee the implementation of the response to the grievance, monitoring its progress and the effectiveness of the response. All grievances filed must be reported to the NPMU using a standardized template, including information on the status of all grievances.
5b. Grievance resolved and successfully closed	If the response is successful, the grievance will be resolved and closed. The grievance report to the NPMU will be finalized and submitted by the responsible project officer, noting that the grievance has been successfully resolved and has been closed.
5c. Grievance not resolved	If the response is not successful, the project officer responsible for overseeing and monitoring the response will review the response to be implemented (step 6).
If complainant does not agree on response (step 4)	
6. Review	If no response can be met, the responsible safeguard specialist/project officer will review the grievance with the safeguards representative at the NPMU. Together they will determine whether to revise the approach and propose other alternative responses, refer the grievance to another system (e.g. legislative, administrative, party, judicial, law enforcement, customary), or close out.
7. Grievance referred or closed out	Pending the result of the grievance review, grievances that cannot be re-solved within 1 month from the acknowledgement of the complaint will be either referred to a different system or closed out. All grievances, including grievances that cannot be resolved, will be documented using a standard template, and reported to the NPMU safeguard representative.

In addition to this regular process, there are (at least) annual visits by the national level of the Lao Front for National Development to a number of selected target villages within each province. As part of these Safeguards Assessment, the information on grievances submitted to the VMU is retrieved and assessed.

Template to Acknowledge, assess, assign a grievance, record the consultation with the grievant and the conclusion of the grievance

A) Information from the Grievant
- Village
- District
- Name of individual(s) with concern
- Phone number of individual(s) with concern
- Date of complaint filed
- Location of the event or issue
- Description of the issue (including date of issue happening)
- Other parties involved
- Attachments (photos, maps, etc.)
- Preferred solution

B) Assessment by the Safeguards team
- Eligibility of the grievance (including explanation if not)
- Outlined procedure to resolve the grievance
- Organizational responsibilities to propose a response to the grievance

C) Notes of meeting with complainant to reach an agreement
- Response and solution proposed to the grievant
- Comments from grievant and parties involved

D) Conclusion: Could grievance be resolved?

Template to report to Safeguards Specialist at NPMU

See template above, however not showing the name of the grievant

Template to report unresolved cases

See template above, however not showing the name of the grievant

Grievance Process for Complaints Generated beyond the Village Level

In some cases, there may be individuals or agencies who wish to file a grievance but are not based in a village in the intervention's operating area. This might include advocacy groups (including environmental advocates), or individuals/groups who are affected by, but not in, a project site. Advocates and affected people may live in other countries. The Project GRM is fully accessible to them as well and the hotline number is published on the I-GFLL website (i-gfll.org).

In these cases, the Project Safeguards Team will:

1) seek to mediate/resolve the grievance directly;
2) refer the complaint to the appropriate Lao government unit or department within the official mediation process; and/or
3) refer the complaint to the GCF.

Reporting to the GCF

The Project is committed to transparency and accountability concerning complaints (including SEAH issues), while also protecting the confidentiality of those involved. To this end, from 2019 the annual report for Project 1 includes a brief section documenting the number and nature of complaints received and how they were resolved. Identifying details of individuals will not be included. This approach will be replicated in the reporting for Project 2.

Annexes:

Annex 1: Table of the measures toward ethnic groups with the aim to avoid, minimize and mitigate negative impacts and enhance positive impacts and opportunities

ID	*EGDP measures*	*Description of measures*	*Indicators*	*Timeline*	*Budget (EUR)*	*Responsibility*
1	Project capacity to implement EGDP - Hiring of staff to implement EGDP, including: 1. Ethnic Groups Specialist 2. Short-term Ethnic Groups or M&E Expert to assist in developing target indicators and monitoring of ethnic engagement 3. Ethnic Interpreters	Hiring of safeguard staff to support project implementation. Ethnic groups/social safeguards specialist and expert are required to good have local knowledge, especially in the context of ethnic culture diversity in Lao PDR and have a balanced knowledge between economic development, social/culture integrity, and land forest/national resources preservation. Ethnic Groups Interpreters will be hired to address language barriers and support capacity building and facilitate knowledge dissemination in local languages. Wherever language skills of the villagers are low, Hmong and Khmu, and other languages where suitable, to be used in consultation and communication with ethnic groups villages regardless of where the village is located to ensure that all villagers understand information provided by the project.	Social safeguards specialists recruited upon Project start and assist in Project 2 implementation.	Y1:4	80.000 (estimate for share of Safeguards Team for EGDP relevant issues)	Programme Management; Safeguards Team
2	Ensure ethnic groups representation in the following: 1. Guideline revision and development 2. Deforestation free agriculture	▪ For all guidelines developed and revised, special attention will be paid to social inclusion and safeguarding the rights of ethnic minorities. Ethnic group specialists should revise newly revised guidelines to ensure they are sensitive and responsive to ethnic groups. ▪ Representatives of ethnic groups in deforestation free and climate resilient agriculture activities to safeguard respect	a) Ethnic group specialists revise all revised guidelines to ensure ethnic-group related consideration are mainstreamed.	Y:1	Integrated into Safeguard's Team's tasks 219.000	Safeguards Team

	activities (PSAP/ VFAG) 3. VFAG Committees 4. Village Forest Management Committees (FMC) 5. Private Sector Investment Activities (i.e. Agri-MSME support)	and recognize traditional knowledge, livelihood systems and use of land and forests including ways of ownership and knowledge transmission. ▪ The project will further ensure groups members are included in the Land-use, VFAG and Forest Management Committees ▪ Ensure that representatives of the ethnic groups are included and consulted with regarding potential private sector investments in community-based agroforestry enable all villagers equally to partake in the investment decisions.	b) Number of ethnic men and women, and number of ethnic groups who take part in (i) PSAP. c) Number of ethnic men and women, and number of ethnic groups who access the agri-MSME matching grants. d) Number of ethnic men and women, and number of ethnic groups in VFAG committee e) Number of ethnic groups, and number of ethnic men and women in VFMC f) Number of ethnic groups, and ethnic men and women in forest patrolling system			
3	Ensure meaningful consultation and quality of engagement at all levels during FPIC, PLUP process and other project activities.	▪ Conduct meaningful consultation and ensure transparent processes throughout project implementation. ▪ Provide adequate information as well as engage with and seek the support of those who could be affected by land classification and zoning through PLUP, PSAP, VFM and NPA planning, prior to decisions being taken, and response to their contributions; taking into consideration existing different traditional land-use by the different villagers and	a) Evidence of consultation with ethnic groups (women and men) demonstrating their support prior to project activities	Y:1-4	Integrated into FPIC and PLUP budget	FPIC Teams, PLUP Teams, Safeguards Team

		ensuring active, free, effective, meaningful, and informed participation of individuals and groups throughout these processes, with due consideration to gender equality, social inclusion and safeguarding the rights of ethnic groups. ▪ Ensure equal rights for all different ethnic groups, women, and men, while acknowledging differences between women and men and taking specific measures aimed at accelerating equality when necessary.	b) Records of ethnic groups concerns and how he project addressed the issues			
4	Ensure effective engagement of ethnic groups in land use planning, dissemination and monitoring process, and technical capacity building.	▪ IPP expert (s) to develop ethnic groups engagement field guide (guidebook) that incorporate the concept of ethnic groups sensitivity (cultural responsiveness), inclusive consultation/social inclusion. ▪ Provide training to key government and project staff on the above mentioned guidebook (at least 1 training per district) ▪ The project will pay special attention ethnic and gender sensitivity, take into account ethnic groups and gender perspectives in the policy development process by engaging ethnic groups and men and women view points in the policy review. ▪ Active engagement of ethnic men and women in capacity building, the development of land use plans and the implementation of the land use plan and other project supported measures (PSAP, VFM, NPA management, VilFoCA)	a) Ethnic group engagement guidebook developed b) Evidence of best practice on social inclusion incorporated in the community engagement field guide c) Evidence shows, that ethnic groups have not been systematically excluded from the introduction of the GRM mechanism d) Evidence of training conducted e) Evidence of ethnic groups engaged in (i) policy review process, (ii) capacity building, and (iii) forest management.	Y:1:4	Integrated into Safeguards Team's, VFM, PSAP, VilFoCA and NPA management Budget, 20.000 EUR (trainings)	FPIC Teams, PLUP Teams, Forestry Teams , Safeguards Team

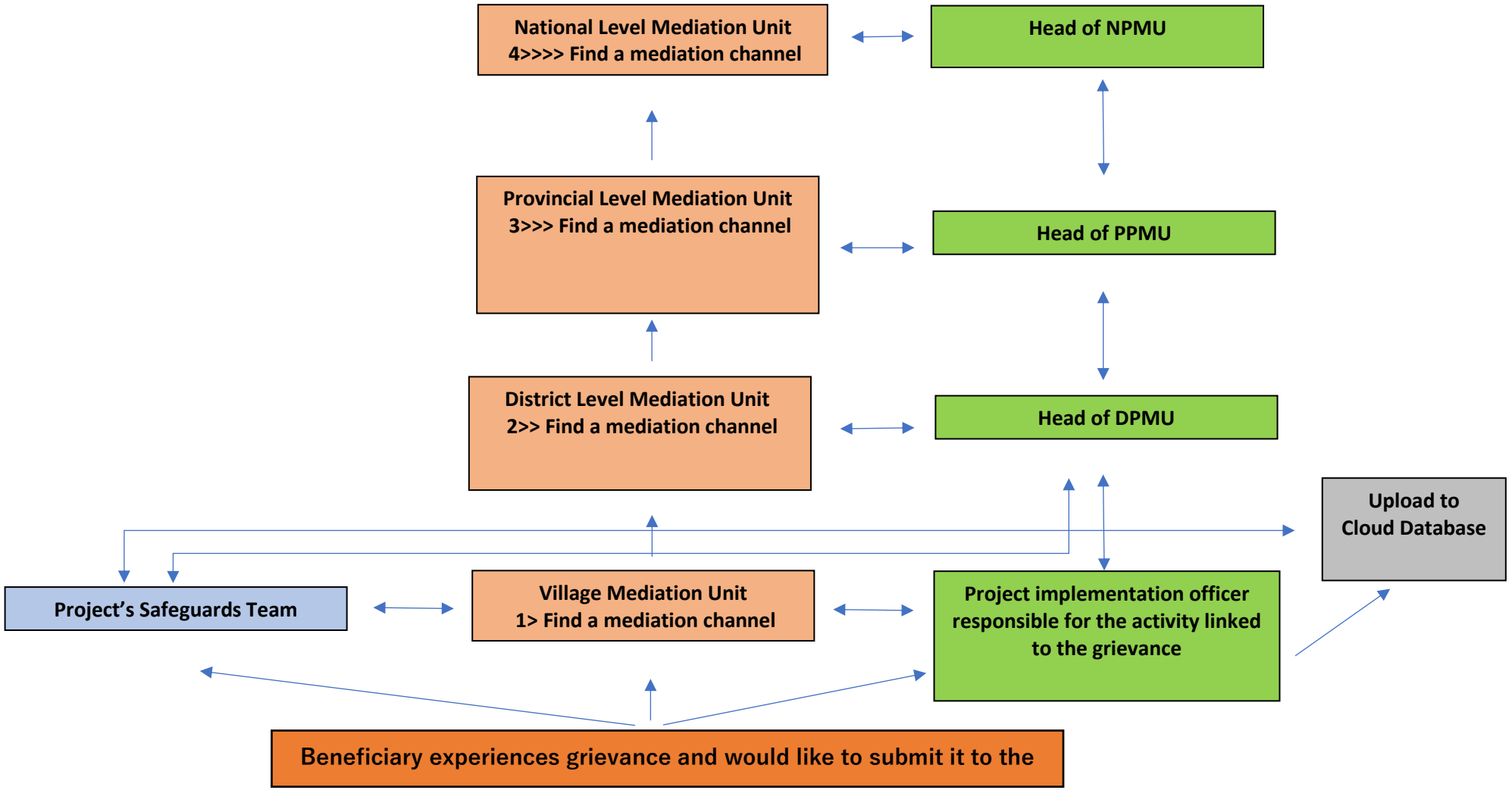
5	Ensure access and rights to agricultural and forest land in a culturally respectful manner, ensuring land use planning, PSAP, VFM, and NPA management do not have adverse impacts on ethnic men and women.	▪ Where forest land and other natural resources, which are currently used by the villagers, are proposed to include for restoration and/or protection, the project will make sure alternative access and livelihoods options are discussed and provided for and that forest areas and land are identified for livelihoods of the poorer and landless households to have access to and rely on. The project's will use participatory practices, and project staff will be trained on gender equality and social inclusion. ▪ Ensure that land acquisition from an individual farmer/household will not occur or cause by the project and that the villagers can continue to have access to their land and livelihoods. ▪ Ensure the project grievance mechanism is communicated in a culturally appropriate manner (including local languages), and is accessible to project beneficiaries (see also Chapter 10)	a) Evidence of continued access to land and forest b) Evidence of no land acquisition occurred/caused by the project c) Evidence of alternative land, forest and livelihoods options provided where there is a proposal for restoration and/or protection	Y:1-4	Integrated into NPA, PSAP, VFM and M&E Budget 986,000	Safeguards and M&E Team, Programme Management and technical advisors
6	Respect customary use of lands and forests, territories and resources and rights related to cultural and spiritual heritage and values, traditional knowledge, resource management systems and practices, occupations and livelihoods, and ethnic groups' institutions.	▪ Customary forest and land use is included during the FPIC and PLUP processes address the importance of stakeholder engagement and promote sustainable land-use and forest management. ▪ Respect and sensitive to village spiritual/holy forest and land during VFMP and all other land and forest planning. ▪ Make sure that forest and/or land is adequately allocated for cemeteries and other spiritual sites ▪ Ensure PSAP includes rotational shifting agriculture, to ensure the traditional practices of ethnic communities are respected. ▪ Respect customary land tenure right holders and their rights prepare measures to identify and record all forest land, including access rights to different forests during the implementation of land and forest mapping (categorization, zoning, and boundary demarcation).	a) Evidence of customary land and forest identified and recorded b) Evidence of spiritual important site and cemetery	Y: 1-4	Integrated into Safeguards Team's, VFM, PSAP, Budget 219,000	FPIC Teams, PLUP Teams, Forestry Teams , Agriculture Teams, Safeguards Team

7	Ethnic groups **representatives'** empowerment: 1. Ensure they actively act as a voice for their groups 2. Engage them in project activities, and 3. Engage in the implementation of forest protection management.	▪ Select key members of ethnic groups, including women, in the targeted villages to grow with the Project. They can be a point of contact and communication (project coordination at the village level). They can also be the same persons that hold a position within the established Land-use and Forest Management Committee (LFMC). ▪ Provide adequate guidance, training, opportunity, and knowledge to the selected ethnic groups' members. ▪ Ensure and increase public awareness of the ethnic groups in order to promote a wider understanding of relevant laws and regulations. ▪ Related to other capacity building programmes, the ethnic group experts are to assist in designing training of trainers (ToT) course and other training courses to ensure that the material reflect ethnic culture sensitive and responsive. Also assist in developing visualise media material that focus on real situation of the targeted villages and easier for the ethnic groups villagers to understand. Ethnic group specialists to support with such processes.	a) Record a profile of ethnic groups representatives b) # of workshop and # ethnic men and women who participated in various trainings /workshops. *c)* Evidence of ethnic groups cultural appropriateness included in training material.	Y: 1-4	Integrated into Safeguards Team's, VFM, Budget 219,000	FPIC Teams, PLUP Teams, Forestry Teams , Safeguards Team
8	Benefits sharing: knowledge and technical assistance. Benefits from ▪ Capacity building on climate risk and vulnerability and best practices to strengthen resilience through sustainable land management ▪ PLUP ▪ Deforestation-free agriculture (e.g. PSAP and VFAG) and related value chains	▪ Ensure ethnic groups villagers have equitable access to and benefit from the promotion of new agricultural practices and value chains ▪ Ensure fair distribution of legal knowledge and improve inclusion. ▪ Incorporate special measure towards poorer and vulnerable into the implementation plan to make sure equal access to project benefits. ▪ Ensure fair representation of ethnic groups, women, men, in the processes of promoting deforestation-free agricultural practices and technologies. ▪ In regarding chain actors/SMEs, the IPP expert is to create special measure for poorer/landless HH to access to business information and programme, including off-and-on farm activities and provide long-term business development vision through capacity development and	a) # of workshop and # ethnic men and women participated in various trainings /workshops. b) Evidence of ethnic groups engaged in (i) PLUP, (ii) PSAP (i) capacity building, (iii) forest management (VFM and VilFoCA).	Y: 1-4	Integrated into Safeguards Team's, VFM, PSAP, Budget 219,000	FPIC Teams, PLUP Teams, Forestry Teams , Agriculture Teams, Safeguards Team

	and access to markets ▪ VFM ▪ Village forest conservation agreements (VilFoCA)	pro-poor strategies and it should be tailored-made for poorer, poor, medium, high-income SMEs/farmers groups. ▪ Provide knowledge on health safety and risks associated promotion of commercial agriculture production.				
9	Ensure ethnic groups have access to project grievance redress mechanism (GRM) and their concerns are addressed properly.	▪ The GRM focal point under the PMU must receive training on GRM ▪ GRM will be communicated to all relevant stakeholders, including the ethnic groups as part of project engagement. ▪ Ensure GRM considers culturally appropriate ways of handling the concerns of the ethnic group in the project areas. ▪ Use ethnic groups interpreter for all ethnic groups communities with low Lao language skills. ▪ Processing of complaints and documentation must include specific timeframe and commitments to resolve issues. ▪ All complaint must be recorded (letter, email, record of conversation) and stored together, electronically or in hard copy. ▪ The safeguards team is also responsible for oversight of the GRM and provide regular reporting of the grievance status in regular project reports.	a) Evidence shows, that ethnic groups have not been systematically excluded from the introduction of the GRM mechanism	Y: 1-4	Integrated into Safeguards Team's 219,000	Safeguards Team

Annex 2: GRM Explanation in Lao Language

Annex 3: Grievance Redress Mechanism for I-GFLL Project



Annex 4: Protocol of UXO Site and Safety Brief[17]

1. Site Brief

The following is to be included in a site brief:

1. A brief history of the area around the site to include the effect of UXO contamination on the local community. Any accidents or incidents involving people or livestock should be covered.

2. The end use of land, including details of donors or other organisations supporting the work.

3. Clearance plan for the site to include:

1. Area to be cleared.
2. Depth of clearance.
3. Quality of clearance.
4. Methodologies and equipment used.
5. Planned duration of task.

4. History of clearance on the site to date to include; days worked, area cleared, UXO removed, projected completion date and problems encountered.

5. Site layout to include:

1. The site layout.
2. The marking systems used.
3. Locations of safety or access lanes.
4. Cleared and uncleared areas.
5. Location of the site medic.
6. The location of toilets and rest areas.

2. Safety Brief

The following is an example of the details that may be included in a safety brief:

During the visit you are to comply with the following rules:

1. You must obey all instructions given to you by myself or any personnel appointed to escort you.
2. You must remain with your escort at all times. You are not permitted to move around the site by yourself.
3. Only walk in the areas indicated by your escort.
4. Do not touch any items on the ground.
5. Smoking is only permitted in the rest area as previously indicated.
6. In the unlikely event of an accident or incident follow the instructions of your escort or myself.
7. If you have portable telephones or radios you are to turn them off.
8. While you are on the site the clearance technicians will be required by safety rules to stop work. Please attempt to keep your time on the site itself to a minimum, and to ask questions or carry out any discussion after you have moved off the site. Thank You.

[17] adopted from Northern Laos Emission Reductions Payments Project's ESMF.

Annex 5: Checklists for environmental and social screening[18]

Note: Subproject not eligible for REDD+ funding if any items are checked "yes"

#	Subproject Description Characteristics:	Yes	No
1	New settlements or expansion of existing settlements outside the area defined by the PLUP or in any zone not gazetted for agriculture or habitation in the macro zoning of the NPA.		
2	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.		
3	Physical relocation and/or demolition of residential structures of households		
4	Use of PAW subprojects or activities as an incentive and/or a tool to support and/or implement involuntary resettlement of local people and village consolidation. Project finance can be used in villagers that were consolidated.		
5	Significant damage or loss to cultural property, including sites having archaeological (prehistoric), paleontological, historical, religious, cultural and unique natural values.		
6	Construction of new roads, road rehabilitation, road surfacing, or track upgrading of any kind inside natural habitats and existing or proposed protected areas and in general any construction expected to lead to negative environmental impacts.		
7	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.		
8	Forestry operations, including logging, harvesting or processing of timber and non-timber products (NTFP); however support to sustainable harvesting and processing of NTFPs is allowed if accompanied with a management plan for the sustainable use of the resources.		
9	Forestry operations on land or in watersheds in a manner that is likely to contribute to a villages increased vulnerability to natural disasters.		
10	Conversion or degradation of natural habitat and any unsustainable exploitation of natural resources including NTFPs.		
11	Production or trade in 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 or products containing tobacco.		
12	Trade in any products with businesses engaged in exploitative environmental or social behaviour; or engaged in any unauthorised activities especially those related to natural resources.		
13	Purchase pesticides, insecticides, herbicides and other dangerous chemicals exceeding the amount required to treat efficiently the infected area and which are not on the national list of chemicals allowed to be used in country or if the pesticides are banned in line with WHO regulations. However, if pest invasion occurs, small amount of eligible and registered pesticides in Lao PDR is allowed if accompanied with a training of farmers or villagers to ensure its safe uses and World Bank's clearance is needed. If the use of pesticide is necessary, the DoF will refer to the Pesticide Management Plan.		

[18] from Northern Laos Emission Reductions Payments Project's ESMF.

	Potentially Significant Impact	Less Than Significant with Mitigation	Less Than Significant Impact	None	Remarks **Note: The impact indications below refer to the potential REDD+ Subproject.**
I. AESTHETICS: Would the Subproject:					
a) Have a substantial adverse effect on scenic vistas or resources?					
b) Create a new source of substantial light or glare which would adversely affect day or nighttime views in the area?					
II. AGRICULTURE & FORESTRY **Would the Subproject:**					
a) Negatively affect agricultural lands (terraced, irrigated, and others)?					
b) Affect community forests, National, Leasehold or Production forests, including any formally designated preservation categories?					
c) Lead to forest conversion to other uses?					
III. BIODIVERSITY **Would the Subproject affect:**					
a) Modified, natural and critical or sensitive habitats					
b) General terrestrial ecology and biodiversity zones, including any possible rare, endangered, threatened or endemic species/habitats					
c) Ecosystem services, including provisioning, regulating, cultural or supporting services					
d) Formally designated protected categories (Ramsar sites, National Protected areas, other conservation/ preservation categories					
IV. CULTURAL RESOURCES **Would the Subproject affect:**					
a) Cultural resources (archaeological, paleontological, historic, touristic or other)					
V. PHYSICAL RESOURCES **Would the Subproject negatively affect:**					
a) Geo-physical and flooding risk, seismic instability, erosion, soil stability, landslides					
b) Air Quality and Noise					
c) Water Quality					
d) Water Resources					

	Potentially Significant Impact	Less Than Significant with Mitigation	Less Than Significant Impact	None	Remarks **Note: The impact indications below refer to the potential REDD+ Subproject.**
e) Hazardous materials and waste					
f) Greenhouse Gas Emissions					
VI. GENDER ISSUES **Would the Subproject:**					
a) Have gender dimensions: marginalization; access to justice, education and social services; domestic violence, property rights, and political representation?					
b) Create conditions that may introduce or exacerbate Trafficking in Persons (TIP)					
VII. HEALTH AND SOCIAL SERVICES **Would the Subproject:**					
a) Restrict access to health care facilities					
b) Restrict access to educational facilities or other social services					
c) Introduce general health hazards (noise, air, water pollution) for local populations					
d) Create conditions that might have an impact on the incidence of HIV/AIDS, for example, through influx of "foreign" labor					
VIII. LAND USE **Would the Subproject:**					
a) Affect land use and land use planning (urban, agriculture, pastoral, production forest, barren land, and other types)					
b) Adversely affect subsistence farmers, forest users and other vulnerable groups					
IX. POLITICAL ISSUES **Would the Subproject:**					
a) Provide opportunities for participation by civil society organisations and NGOs?					
b) Affect local government activities?					
c) Provide opportunities for empowerment of women, and the poor, disadvantaged, and vulnerable?					
X. SOCIO-ECONOMIC CONDITIONS					

	Potentially Significant Impact	Less Than Significant with Mitigation	Less Than Significant Impact	None	Remarks **Note: The impact indications below refer to the potential REDD+ Subproject.**
Would the Subproject:					
a) Create conditions that would have an adverse impact on the poverty profile of local communities?					
b) Affect local households/ communities?					
· Provide opportunities for employment and service provision					
· Adversely affect socioeconomic structures, such as in dividing settlements, introducing foreign labor					
· Adversely affect land tenure for affected people					
c) Physically or economically displace populations, particularly the poor, disadvantaged and vulnerable					
d) Adversely affect the socioeconomic and cultural activities of ethnic groups and Indigenous Peoples					
e) Affect cultural mores and activities of communities in the area of influence					
f) Affect the ability of local persons to access forest resources					
g) Introduce changes to economic activities of local communities					
h) Increase the vulnerability of local populations to natural disasters (flooding, landslides, etc.)					
i) Lead to forest degradation					
j) Create hazardous conditions on roads in transport of goods and materials to Subproject sites					
XI. VULNERABLE GROUPS Would the Subproject negatively affect:					
a) Vulnerable communities					
b) Poverty and inequality: characteristics; access to education and employment; progress in social mobility;					
c) Child labor incidence, prevention					

	Potentially Significant Impact	Less Than Significant with Mitigation	Less Than Significant Impact	None	Remarks **Note: The impact indications below refer to the potential REDD+ Subproject.**
d) Changes in population, governance, institutions or practices, traditional territorial rights, land use, and economic activities					

Note: "**X**" indicates impact significance choice. "**+**" indicates that a potential positive impact is expected.

Category Description	**Applies?**	**Remarks**
Is this a Non-Eligible or Prohibited Activity? See Checklist 1		
A: Subproject has the potential to have significant adverse environmental and social impacts that are sensitive, diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works.		[Subproject not eligible. See Checklist 1]
B: Subproject's potential environmental and social impacts are less adverse than those of Category A Subprojects. Typically, these impacts are site-specific, few if any of them are irreversible, and mitigation measures are more readily available.		
C: Subproject is unlikely to have adverse environmental and social impacts.		

Annex 6: Chance Finds Procedure

Chance Finds Procedure[19]

World Bank's OP/BP 4.11 Policy addresses 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. Physical cultural resources may be located in urban or rural settings, and may be above or below ground, or under water. Their cultural interest may be at the local, provincial, or national level, or within the international community.[20] The following "chance find" procedures[21] are to be included in all civil works contract:

If the Contractor discovers archeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavation or construction, the Contractor shall:

- Stop the construction activities in the area of the chance find;
- Delineate the discovered site or area;
- Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be arranged until the responsible local authorities or the National Culture Administration take over;
- Notify the supervisory Project Environmental Officer and Project Engineer who in turn will notify the responsible local authorities and the Culture Department of Province immediately (within 24 hours or less);
- Responsible local authorities and the Department of Information and Culture (DIC) of Province would be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archeologists of the Department of Heritage and Antiquities under the Ministry of Information and Culture. The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values;
- Decisions on how to handle the finding shall be taken by the responsible authorities and DIC of Province. This could include changes in the layout (such as when finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage;
- Implementation for the authority decision concerning the management of the finding shall be communicated in writing by relevant local authorities; and
- Construction work could resume only after permission is given from the responsible local authorities or DIC of Province concerning safeguard of the heritage.

[19] adopted from Northern Laos Emission Reductions Payments Project's ESMF
[20] Operational Manual, OP 4.11 – Physical Cultural Resources, Revised April 2013.
[21] Based on: Lao PDR Agriculture Commercialization Project (LACP), ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (DRAFT), October, 2017