



*Laos People's Democratic Republic*  
*Peace Independence Democracy Unity and Prosperity*

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**LEnS Additional Funding and Environment & Social Safeguards Framework Update  
Ethnic Groups (EG) Consultation, Bolikhamsay Province, Lao PDR  
9-13 September 2009**

**Ethnic Groups Consultation Report**

**21 October 2009**

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## **PART A:**

### **1. Purpose of the Consultation Report**

The purpose of this consultation report is to present the recommendations, reflections and highlights of the consultation workshop, meetings and interviews held with ethnic groups in Bolikhamsay Province, Lao PDR on 9-13 September 2009.

The three-pronged objectives of the consultations with the ethnic groups are:

- i. To share relevant information with the ethnic groups with regard to the planned LEnS additional funding (LAF), the updated LEnS Environment and Social Safeguards Framework (ESSF) and government policy on EGs.
- ii. To provide opportunities for the ethnic groups and local communities to give their inputs in the planning of potential sub-grants (under the planned LEnS additional funding and for the HNG PA Phase 2 proposal under consideration with the current LEnS funding) that are likely to affect them; and
- iii. To provide an opportunity for the ethnic groups, one of the key stakeholders of the LEnS project, to share their comments and recommendations on the Updated LEnS ESSF.

### **2. Outline of Report**

This report is primarily divided into two parts:

- ii. The first part (Part A) comprised of sections 1-4 generally gives an overview of the report; its objectives and approaches employed in the various consultations with the EGs.
- iii. The second (Part B) composed of sections 5-8 gives a summary report for each of the three consultation approaches done, namely; workshop, small group meeting and individual interviews. This section also includes conclusions and summary of next steps.

### **3. Participation**

A broad range of stakeholders at the national, provincial, district and community levels participated in these consultations, involving at least 121 people. At the national level, the EPF in partnership with LFNC were involved primarily in organizing the consultations with technical support from the WB. Two representatives from the National radio were also invited to participate in the consultation workshop as Lao-Kmou and Lao Hmong interpreters. The two staff also disseminated information on the consultation process through the national radio program in the two ethnic languages. The dissemination lasted for about 35 minutes, and the details of the broadcast are found in **Annex 7**.

At the provincial level, the Provincial Governors's Office, PAFO, PWREO, Provincial LFNC, LEnS/EPF provincial staff participated in the various consultation approaches (workshop, small-group meetings and individual interviews) and in organizing the field

logistics. Similarly, the district representatives from district governor's office, DWREU, DAFO, District LFNC, head of village group (khet), head of District Resettlement Unit participated. At the village level, representatives from the ethnic groups in the province (Hmong and Khmou) participated in the consultations. Specifically, the village head, head village women union, head of youth union, head of village development unit, head of elder group, and resident villagers. While most of the meetings were primarily attended by men, the HNG PA Phase 2 consultation meeting were attended by 61 people, with 46% women, primarily from the Khmou group. See **Annex 8** for a list of participants.

#### **4. Approach/process for the EG consultations**

The consultation process used three approaches to present and/or gather information needed. These are individual interviews, meetings and plenary workshop. In all three cases, the local interpreters (either Khmou or Hmong) assisted with translation to ensure clear communication. The consultation process started with decision-making and planning meetings as to how to do the consultations and who will be involved. It was concluded to proceed with the consultations by using the three approaches mentioned above in order to counter-check or re-confirm information gathered from either one of the approaches.

## **PART B**

### **5. Workshop Report**

#### **5.1 Welcome**

The welcome remarks (see **Annex 3**) were given by the Director of Department Ethnic Affairs (DDEA) of LFNC and are summarized as follows:

The DDEA welcomed everyone and presented the purpose of the meeting including highlighting the LAF and HGN activities, and encouraged participation from all who attended. He mentioned that the participants' comments and suggestions for LAF activities, including implementation arrangement in each level (provincial, district and village), are very important. He also gave a brief overview of LEnS and its activities regarding environment protection and community development in Bolikhamxay province

#### **5.2 Objectives, approach, expected outputs, agenda**

**Objectives:** The objectives of the workshop are the following:

- Introduce the LEnS project concept (mainly the LAF concept paper on community conservation network), revised LEnS ESSF and government policy on ethnic groups to the targeted recipients (local authority and community);
- Assess community needs through discussions, both plenary and small-group discussions during the workshop;
- Summarize comments and needs of the community and local authority for further development of the project proposals under LAF to ensure the maximum benefit to ethnic groups, and obtain comments for finalization of the ESSF.

**Approach:**

The workshop was conducted on 11 Sep 2009, starting with presentations on the LAF (particularly the concept notes on community conservation networks and the river basin committee and their potential impacts), revised ESSF and government policy on EGs. Participants were requested to take note of their questions or comments for each of the presentations, as the plenary discussion was reserved until after all the presentations were done. Lunch break followed the 1.5-hour plenary discussions, after which the participants were divided by ethnicity/language into 3 groups comprising of about 15 people per group. A brief summary of the day's workshop followed after the group discussions, and followed by the closing remarks. Multiple languages (Lao, Khmou and Hmong) were used for communication to ensure clear understanding by each ethnic group in the targeted area.

**Expected outputs and outcomes:**

- Summary of comments on the LAF, especially on the proposed CCN and RBC sub-projects.
- Summary of comments on the revised ESSF

**Agenda:**

Details of the workshop agenda are presented in (**Annex 2**).

**5.3. Pre-consultation highlights**

**Step1:** WB and EPF team discussed with LFNC headquarters in Vientiane the EG issues and role of LFNC in Laos. LFNC is the key organization mandated to protect the rights of ethnic groups according to the Laws and Constitution of Laos. The discussions revealed that Laos consists of 49 ethnic groups with four main language categories. For Bolikhamxay, there are three major languages (Lao, Hmong and Khmou), which the team needs to consider in conducting this consultation.

EPF invited LFNC and WB to discuss the objectives and expected outputs/outcomes of the consultations, and to review the mandate and regular work of LFNC to ensure that it is the right entity to handle EG consultation.

**Step2.** EPF formally requested LFNC to take the lead in the EG consultation. Two National Radio staff were invited to be the key interviewers and translators (for Hmong and Khmou languages). See EPF's letter of request to LFNC to lead out in the consultations on **Annex 1.1.s**

**Step3.** EPF provided funding and logistical support to LFNC to organize the consultations, especially in coordinating with the provincial authorities of Bolikhamsay. See LFNC's letter of notice to provincial LNFC in **Annex 1.2**.

**5.4 LEnS additional funding****5.4.1 Overview of Lens additional financing and HNG PA Phase 2****• Summary of LEnS additional Financing (LAF)**

The objectives of LAF specifically affecting the province are the following:

- i. Improve provincial and district capacity to monitor and implement environmental and social safeguards associated with the implementation of development projects
- ii. Strengthen capacity of PWREO to monitor the implementation of the PESAP and in developing/maintaining a relevant database
- iii. Enhance knowledge and understanding of local communities within the NT-NK river basin on the need to protect the watershed, to conserve natural resources and biodiversity, and to provide knowledge and opportunities on various livelihood development options that may be applicable to them.

Discussions centered primarily on the third point above, specifying that there are basically two proposed sub-projects in this area; the community conservation network (CCN) and the river basin committee (RBC). More details were presented as follows:

### **CCN**

The community enhancement component under LAF aims to support selected communities surrounding the NT-NKD river basin as a pilot case to build a basin network and livelihoods support for changing community behavior in using natural resources in a sustainable manner, and actively participate in the NPAs' protection. This will be achieved through the following specific objectives:

- 1) Increase awareness of communities surrounding NNT and NKD-NPAs on global biodiversity significance of those PAs and need to protect the watershed for current and future hydropower projects development in their river basin.
- 2) Enhance biodiversity conservation network at community level, and maximize community participation in the NPA conservation activity. Develop, publish and disseminate rules, regulations and guidelines related to biodiversity conservation.
- 3) Improve community's livelihood through increased crops, livestock production and household incomes with direct links to promote less intensive dependence on forest resources.
- 4) Sustainable management and use of Non Timber Forest Products (NTFPs) in the project target villages surrounding NT and NKD-PAs.

Six villages of Pakkading and five villages in Khamkeurt districts are identified and selected to be targeted project areas.

- **Summary of RBC**

A brief summary of the planned RBC activities were presented as follows:

(a) build technical capacity to monitor water flow, water quality, fisheries, and ecology in target areas to ensure that minimum cumulative impacts can be managed; (b) ensure effective coordination among these hydropower stations to optimize the water resources use yet mitigate the cumulative impacts for riparian communities from the four hydropower stations, (c) ensure effective protection of the watershed by providing adequate funding, (d) provide riparian communities with fair share of the water resources towards better livelihood.

See more details of the presentation on the LAF in **Annex 6.1**.

#### **5.4.2. Summary of comments on LEnS additional funding**

- **Comment for LEnS additional Financing (LAF)**

The workshop participants agreed on the overall objectives of the LAF. In particular, they agreed in principle on the two proposed sub-projects under LAF; the establishment of NT-NKD RBC and the CCN. The specific suggestions for consideration in refining the proposal are as follows:

**a) Institutional arrangements:** There was overall agreement on the institutional arrangement regarding CCN with minor comment regarding the district level. It was suggested that a senior personnel from the district cabinet office (preferably head of cabinet) needs to be assigned to oversee the implementation of CCN activities, instead of a district committee. Capacity building is a critical need, and can be done through the following:

- on the job training for district village staff on project operation
- study visit to other villages to exchange experiences and gain professional skill
- Helping the district play an active role in the linkage between merchants and community to secure reasonable prices of community products promoted by the project especially in Khamkeut district.

**b) Community development options at Khamkeut district**

The following priority areas were suggested:

- agro-forest cultivation
- short-term crops cultivation such as: sweet corn, cassava etc.
- traditional livestock raising (pigs, chickens and flog)
- vocational training for handicraft and other high-demand skills

**c) Community development options at Pakkading district:**

The following priority areas were suggested:

- increased efficiency of paddy rice cultivation
- handicraft for men and women
- small and big livestock raising
- chemical-free vegetable cultivation
- banana plantation in the appropriate area

- mushroom cultivation
- small scale irrigation

## 5.5. Updated LEnS ESSF

### 5.5.1 Overview of updated LEnS ESSF

The revised LEnS ESSF was presented as below. The whole ESSF document was translated in Lao while the Lao verbal presentations were translated in the local language. See more ESSF presentation material in **Annex 6.1**.

1. The Environmental and Social Safeguard Framework (ESSF) is designed to minimize adverse environmental and social impacts that may occur due to the implementation of LEnS sub-projects. Given the project's objective and scope, it is anticipated that LEnS sub-projects will not generally cause negative social or environmental impacts. However there is a risk that some sub-projects could involve small land acquisition or resource access restriction, or could affect ethnic communities, physical cultural resources, or natural habitats. To avoid or mitigate these risks, a "Negative List" (See # 3), safeguard screening, and specific actions are provided to ensure that the issues are identified and adequate measures are undertaken. This is to ensure that the LEnS subprojects/activities are in compliance with the GOL regulations and the World Bank Safeguard Policies.

2. The ESSF will apply to all sub-grants and their proposed activities, to be implemented under the two EPF Windows financed by LEnS Additional Financing Project.

3. *Negative List of Prohibited Activities:* To avoid adverse impacts on the environment and people, proposals that involve the following activities are explicitly excluded from funding under LEnS:

- (i) Relocation, and/or structural demolition of any homes or business.
- (ii) Land acquisition that affect more than 200 persons or 40 households.
- (iii) New settlements or expansion of existing settlements inside natural habitats and existing or proposed protected areas.
- (iv) Likely to create adverse impacts on ethnic groups within the village and/or in neighboring villages or unacceptable to ethnic groups living in a village of mixed ethnic composition.
- (v) Loss or damage to cultural property, including sites having archeological (prehistoric), paleontological, historical, religious, cultural and unique natural values.
- (vi) New roads, road rehabilitation, road-surfacing, or track upgrading of any kind inside natural habitats and existing or proposed protected areas.
- (vii) Purchase of gasoline or diesel generators and pumps; guns; chain saws; pesticides, insecticides, herbicides and other dangerous chemicals; asbestos and other investments detrimental to the environment.

- (viii) Forestry operations, including logging, harvesting or processing of timber products; however support to sustainable harvesting and processing of NTFPs are allowed if accompanied with a management plan for the sustainable use of the resources.
- (ix) Introduction of non-native species, unless these are already present in the vicinity or known from similar settings to be non-invasive.
- (x) Significant conversion or degradation of natural habitat or where the conservation and/or environmental gains do not clearly outweigh any potential losses.
- (xi) Large scale construction or small/medium scale construction expected to lead to significant negative environmental impacts.
- (xii) Payments of salaries to regular staff of the organization to which the grant was awarded. Per diems for field activities and travel, payment for extra manpower contracted for sub-project purposes, and payments to communities for labor are allowed.

### **5.5.2 Summary of comments on LEnS ESSF**

Generally, the workshop participants agreed on the revised ESSF . It was generally concluded that it will be useful to include safeguard measures in project preparation and implementation to avoid or mitigate negative environmental and social impacts. There were no specific comments regarding the revised LEnS ESSF.

## **5.6. Rights of ethnic group per Lao Government**

### **5.6.1 Overview of GoL policies on ethnic groups**

A brief overview of relevant government policies were presented as follows:

- a. GoL policy, specifically the Constitution of Lao PDR, specifies that all Lao people have equal right in front of the Law and have a right to settle anywhere, where there is available land and resource for living.
- b. The GoL is paying attention on how to develop the disadvantaged ethnic groups and those who live in the countryside. One of the policies is the consolidation policy which aims to centralize residents from remote rural areas to the lowlands (along the road) to ensure the availability of basic facilities and utilities to all people. Relatedly, there was a study in 2008 on ethnic groups classification in Lao PDR showing that there are 48 ethnic groups officially.
- c. Regarding the impacts of development projects, the overall GoL policies/ regulations are consistent with the provisions in the ESSF, aiming to ensure minimizing or mitigating adverse impacts, especially among disadvantaged groups.

See presentation material in **Annex 6.3**.

### **5.6.2 Summary of comments on rights of ethnic groups**

- There is a need to develop specific policy to assist disadvantaged ethnic groups to ensure the appropriate development of their livelihood conditions

- With many development projects (planned and ongoing), there is a need to develop guidelines on the consultation with ethnic communities.

## 5.7. Workshop conclusions

### 5.7.1 Reflections and recommendations

#### a. Potential impact of the CCN sub-project project on the villagers livelihood

**Positive impacts:** (i) the project will facilitate local government agency to closely monitor activities in the community and ensure appropriate technical inputs to community livelihood development; (ii) Linkage of PA conservation activities with community livelihood activities will be improved on the ground; (iii) provide opportunities for livelihoods as alternative to unsustainable collection of NTFPs from the PA; (iv) consolidated and more effective efforts for PA conservation through the network.

**Negative impacts:** (i) the project will limit access to prohibited NTFPs and natural resources at the PA which will further decrease the resource base of already resource-scarce households ; (ii) Changing livelihood may be hard for the community, particularly the disadvantaged ethnic groups who have limited knowledge, skills and access to markets.

#### b. Potential impact of the RBCC

**Positive impacts:** (i) Ensuring that cumulative impacts (which cannot be attributed to one single developer) are addressed, (ii) ensure that there is ecological balance while pursuing development activities (hydropower, agriculture, water utility for drinking and irrigation)

**Negative impacts:** (i) RBC could be involved in conflict over use of water and water resources, (ii) may limit access to use resources

#### c. Alternative livelihood options or solutions proposed by the villagers

- Community agro-forestry (Khamkeurt district)
- Legal and technical assistance in contracting merchants and community to secure the price of community products (Khamkeurt)
- Promote free chemical cultivations (PKD)
- Reallocate land for agriculture (NGH)
- Support to livestock raising (NGH)

### 5.7.2 Closing Remarks

The closing remarks were given by the Director of Department Ethnic Affairs (DDEA) of LFNC. He thanked all the participants and encouraged them to feel free to communicate with the local LFNC representative for any additional comments. See **Annex 4** for details of the closing remarks.

## **6. Meeting Highlights**

### **6.1 Meeting with the Lao Front for National Construction**

- LFNC is the right entity to lead out in the EG consultations
- LFNC has limited resources and capacity to conduct consultation with ethnic groups and requested financial and technical support from the EPF and LAF
- Need to have Khmou and Hmong translators to help with more effective communication with local ethnic villagers

### **6.2 Meeting with the provincial government**

- The approach to conduct the consultation workshop needs to take into account the absorption level of the targeted participants
- Line agency representatives at the district level and “Khet” staff are very useful facilitators in communicating with EGs
- Elder people are the opinion leaders and should be used as key informants

### **6.3 Meeting with Bolikhan District Authorities** (District Governor or Head of District Cabinet, DAFO, District Resettlement Unit)

- local authority (head of village, women union, elder union/village LFNC) will be the key informant to interview and contact
- The consultation team needs to inform to the villagers on the purpose of the consultations first
- Use local/ethnic language to communicate with ethnic people
- Need to interview face to face, and in the evening after they came back from the field

### **6.4 Village meeting in Bolikhan District**

A meeting was held in Nonsomboun village, Bolikhan District regarding HNG PA Phase 2 on 10 Sep 2009. A summary of the proposed HNG PA Phase 2 project was presented and comments from the affected communities were requested.

#### **Summary of HNG PA Phase 2**

A summary of the proposed HNG PA Management –Phase 2 sub-project was presented. The proposed sub-project aims to continue to build PA Management capacity within the HNG PA area with the participation of the community. This will be achieved through the following specific objectives:

- 1) To improve HNG PA as a field campus for training students to carry out biodiversity, tree, wildlife, and NTFP surveys by developing a management plan for HNG with the Bolikhamxay Ag/Forestry College and engaging over 100 students in conducting surveys by September 2010
- 2) To reduce illegal logging and unsustainable NTFP collecting by 25% by September 2010 by maintaining a regular presence at the two checkpoints and conducting weekly patrols in HGN PPA.

The proposed 11-month HGN PA Phase 2 sub-project amounting to US\$58K will be implemented by PAFO-Bolikhamsay and the Bolikhamsay College of Agriculture and Forestry in the surrounding communities of HNG PA. See presentation material in **Annex 6.2**.

### **Comments on HNG PA Phase 2**

Summary of comments on HNG PA Phase 2 proposal

1. Change the second objective: "To assist local communities surrounding the HGN PA with SIA and livelihood development planning that links to conservation"
2. The community needs support for community livelihood development.
3. Villagers are requesting the local authorities to allocate agricultural land to them, in addition to the residential lot allocated to them already.

## **7. Summary of interviews**

### **7.1 Bolikhan interviews**

- District government needs to allocate land for agriculture
- Need to raise livestock in the community
- Promote textile activities and micro-credit for small farming
- Need PA regulation and disclosure to ensure that all surrounding people are aware
- Need more support on community livelihood development rather than PA conservation

### **7.2 Pakkading interviews**

- Promote chemical-free plantation to follow up some good practice that LEnS have supported
- Need government involvement in sourcing market for community products
- Livestock raising is needed

See guide questions used for the interviews in **Annex 5.1 and 5.2**.

## **8. Overall conclusions and next steps**

The overall conclusions through these EG consultations are the following:

- The overall scope and objectives of the proposed CCN sub-project is not changed,
- At the village level, most of the participants agreed in principle that the project can be implemented without any major impacts. Meanwhile DWREO and DAFO should modify the community activities to suit each village (e.g. some village may come out with small scale irrigation, some may come out with agro-forestry, etc).
- At the district level, capacity building is the key priority intervention in order to ensure the success of the project
- As PWREO will be the core coordinator of all LAF interventions as well as key recipient of CCN, social management unit and RBC Secretariat sub-components, there is a high risk of overload and non-compliance to reporting requirements and

- schedule. There is a need to ensure that this is sufficiently covered in the finalization of the project proposal.
- Detailed study/assessment of community needs involving villagers should be conducted after the LAF is approved
  - In HNG, it appears that the majority of those affected by the government's consolidation policy favor the move as alternative livelihood options will be supported by the local government and/or EPF/LAF. In the past, there was no access in the former village during the rainy season. There were also big obstacles for accessing health and education services. The social safeguard is not triggered on the HNG PA Phase 2 proposal and this can proceed with the proposed change in Objective #2, and the revision of activities, workplan and budget, accordingly.
  - EPF will explore funding possibilities to assist with livelihood development for communities around the HNG PA, but no commitments can be made as of now.
  - The revised LEnS ESSF can be kept as it was presented and can be officially disclosed using other venues.

## **Annex 1: Letters of invitation/notice**

### **Annex 1.1 Letter to invite LFNC to conduct the ethnic groups consultation workshop**

25 August 2009

To: The Head of LFNC Office

Subject: Request LFNC to conduct ethnic group consultation workshop for LEnS Additional Financing (LAF) on 9-11 September, 2009.

The Environment Protection Fund (EPF) is seeking additional funding of about US\$3 mil from the World Bank (WB) to extend the implementation of its ongoing Lao Environment and Social (LEnS) Project until 2012. The targeted areas for the additional funding are mainly in the central province of Bolikhamxay (Pakkading and Khamkeurt districts), where many disadvantaged ethnic groups heavily rely on the resources found in or along the Nam Theun and Nam-Khading protected areas and river basin.

To comply with the WB and Government of Laos (GoL) policy on environment and social safeguards, it is required that consultations with the targeted communities, particularly the ethnic groups (EG), and local government be held to ensure the full participation of people affected by the project.

In this regard, EPF is requesting you to take the lead in conducting the EG consultation workshops for three districts (Bolikhan for Houay Ngoua PA sub-grant, and Pakkading and Khamkeurt for the proposed community conservation networks). As you know, LFNC is also a member of the LEnS Project Steering Committee (PSC), and is in a good position to know about current LEnS activities.

EPF would greatly appreciate your consideration to lead out on this activity.

Yours sincerely,

Soukata Vichit  
Executive Director  
Environment Protection Fund

**Annex 1.2: Letter from the LFNC to the province regarding the consultation workshop**

4 September 2009

To: The Head of Bolikhamxay LFNC Office

Subject: Notice on the EG consultation workshop for LEnS additional Financing (LAF), date: 9-11 September, 2009 at Bolikhan, and Pakkading districts, Bolikhamxay province.

The Lao Front for National Construction (LFNC), led by the Department of Ethnic Affairs, would like to inform you that LFNC has a plan to conduct ethnic group consultations for LEnS additional financing on 9-11 September, 2009 at Bolikhan and Pakkading Districts, Bolikhamxay province. Accordingly, please invite all relevant provincial and district line offices and communities in the targeted areas to participate in the consultation workshop on Sep 11. The list of names is provided in the attachment.

We would greatly appreciate your participation and coordination on this workshop.

Yours sincerely,

Nhiakeurya Nochochongtoua

Director General, Department of Ethnic Affairs, LFNC

**Annex 2: Schedule/agenda of consultations**

<b>Date/time</b>	<b>Activities</b>	<b>Facilitators</b>
<b>9/9/09</b>		
8:00-10:00	-Go to Pakxan	Group 1
10:00-12:00	Meet with Provincial Lao Front and cabinet office to finalize the logistic and coordinate with line department	Nhiakeurya and team
14.00-16:00	Meet with Bolikhan district governor and district line offices to discuss on the overall district development plan and activities in the targeted community. select key informants from ethnic groups for interview and key candidate from targeted villages to participate in the workshop	Nhiakeurya and team
17.00-19:00	Observe and interview with targeted community in Bolikhan. two ethnic correspondents were key interviewers	Nhiakeurya and team
<b>10/9/09 Houay Ngoua Village Discussions</b>		
8.30-8:45	Opening remarks	Nhiakeurya
8.45-9.00	Present the role and rights of ethnic groups for socioeconomic development and PA conservation	Bounoum Deputy Head of provincial LNFC
9.00-9.15	ESSF presentation	Sybounheuang Phandanouvong Social Specialist, WB
9.15-9.45	Present HNG PA Phase 2 proposal	Khamsavath, Dean of Forestry College
9.45-10.00	Break	
10.00-11.45	Floor discussion and interview	Nhiakeurya, Koualor and Souvanh
11.45-12.00	Closing remarks	Nhiakeurya
2:00-13:00	Lunch	
13.30-17:00	Go to Phakading district	All teams (LFNC, WB, EPF, National Radio)
<b>11/9/09 EG Consultation on CCN for targeted districts and villages</b>		
8:00-8.30	Registration	All participants
8:30-8.45	Opening remarks	Nhiakeurya

8:45-9:00	Expectation of outputs/outcomes from the Workshop	Soukata Vichit- ED of EPF Office
9:00-9:30	Overview of LAF (CCN and RBC) including expected impacts of the project	Douangchanh Lopaying EA of ED
9:30-9:45	ESSF presentation	Sibounheuang Phandanouvong Social Specialist, WB
10:00-10:15	Coffee Break	
10:15-10:30	Present the rights and roles of the ethnic groups	Provincial LFNC
10:30-12:00	Discussion (Qs & As)	Facilitated by Nhiakeurya and Douangchanh
12:00-13:00	Lunch	
13:00-15:50	Group discussion (by ethnic groups/ language)	Nhiakeurya, Douangchanh, Koualor and Souvanh
15:50-16:00	Closing remarks	Nhiakeurya
<b>12/9/09 Visit selected villages</b>		
8:00-12:00	Visit Namdeua village	All teams (LFNC, WB, EPF, National Radio)
12:00-13:00	Lunch	
13:00	Back to Vientiane	

### Annex 3: Opening remarks at the workshop

Greetings to your excellency, Mr. Chairman, ladies and gentlemen!

The Environment Protection Fund (EPF) is an autonomous financial entity under the Prime Minister's Office which supports all sectors to implement interventions to manage environment and social development. The EPF pilot sites are the three central provinces of Bolikhamxay, Khammouane and Savannakhet. In the future, EPF hopes to scale up its activities throughout the country.

Bolikhamxay (BX) is a pilot recipient province funded by the EPF through several small grants. Many sub-grants were completed through the implementation of the line departments of the province and some are still ongoing. It is anticipated that all the sub-grants will be implemented according to plan.

At the moment, there is high demand for financial support for socioeconomic development and environmental protection for all sectors, which can contribute to the socioeconomic development and poverty alleviation in the country. The primary beneficiary will be local communities, including ethnic groups. In this regard, it is EPF policy, through the LEnS Environmental and Social Safeguards Framework, to require the involvement of beneficiaries in project design to ensure effective implementation of sub-grants funded by LEnS.

The main purpose of the meeting today is to brainstorm and ask the opinions of ethnic representatives, women, senior community leaders and local authorities, who will affect and will be affected by the sub-projects. I would like to request all of you, especially the representative from each ethnic groups, women and village authorities to concentrate and provide comments on potential activities and suitable management arrangement for HNG PA Phase 2- project and the community conservation network, as well as general comments or concerns on the LAF.

At the same time, I would like to thank the WB and EPF teams, for their support in protecting and conserving protected areas (PAs), and improving livelihoods of the communities surrounding the PAs.

Finally, I wish the meeting will enable us all to obtain honest opinions and comments to the project proposal for further development and implementation.

Thank you.

By: Mr. Nhiakeurya Nochochongtoua  
Director General, Department of Ethnic Affairs, LFNC

#### **Annex 4: Closing remarks at the workshop**

Greetings to your excellency, Mr. Chairman, ladies and gentlemen!

After the EPF's and World Bank's presentations of the LAF project concept, ESSF and implementation arrangements, the representatives from each ethnic group and local authorities actively participated. This was especially true during the discussions on the livelihood options and appropriate ways for implementation. We are happy for this, as this is an opportunity for the community to participate in project design to ensure suitable options of livelihood development for disadvantaged ethnic groups.

This kind of meeting is an opportunity to communicate with disadvantaged ethnic groups on project design, and ensure consideration of the rights of ethnic groups in developing their livelihood, as well as PA protection. This will contribute to the country's development according to the Constitution and various laws. From today's discussions, we are able to summarize opinions of livelihood development from the targeted beneficiaries, which are very useful for LAF proposal development. The details are noted in the minutes of the meeting. But if you have other ideas after this meeting, please feel free to let us know through our local representatives.

On the other hand, this meeting also provides a chance for ethnic groups to have ownership on developing their living conditions, using available resources for potential livelihood development. This is in compliance with the 8<sup>th</sup> Lao National Assembly Meeting.

I would like to sincerely thank all participants, especially the representatives of ethnic groups and district and village authorities for their participation throughout the meeting. Thanks to EPF and WB staff for their guidance according to the requirements for ethnic group consultation processes and procedures.

Thank you!

By: Nhiakeurya Nochochongtoua  
Director General, Department of Ethnic Affairs, LFNC

## **Annex 5: Guide questions used for the personal interviews**

### **Annex 5.1: Guide questions for the HNG PA Phase 2 personal interviews**

- When and how did you move to this site? Who told you to move and why?
- What kind of support have you received so far from the districts or Khumban/Khet to move here?
- What do you think the differences between the old village and the new site? If you could choose, would you prefer to stay in the old village or in this new site?
- How was life in the old village? What did you do there?
- Have you heard about the PA conservation project? If not, explain the concept and potential impacts of the project on their livelihood that with PA and forest demarcation and regulation enforcement, they will have less access to the land, forest, wildlife.....?
- How many people in your household? How many kids and elders? What ethnic group are you of?
- Do you have any ideas on what will you do to settle and start a new livelihood here in this new site with less forest products and agricultural land available?
- Do you know where you can grow rice, where to get NTFPs...? How many hectares (or how large) of land have you been given for rice or crop cultivation? Can your family clear and prepare the land for cultivating rice other kinds of crop?
- Do you think these (land, crops...) would be enough for your family? If not, where can you find additional land for rice cultivation?
- If you don't have enough rice and food to eat, what else you could do to earn the living? Do you still need to go collecting NTFPs and hunting in the PA?
- What kinds of support do you expect from the government to restore your livelihood? Is there any local potential, life skills, locally available materials? What kinds of animals you think are good to raise? Is there any grazing land or feed for raising animals? What kind of crops do you think you can grow?
- If you can't do, what kinds of technical support do you expect from the district, eg DAFO?
- What else? Do you have any suggestions on how to restore your livelihood?

### **Annex 5.2: Guide questions used for personal interviews for NTH-NKD RBC and CCN for Pakkading and Khamkeurt districts**

- Have you heard about the LAF (CCN and RBC) project? If not, explain the concept and potential impacts of the project on their livelihood that with PA and forest demarcation and regulation enforcement, they will have less access to the land, forest, wildlife.....?
- If you don't have enough rice and food to eat, what else you could do to earn the living? Do you still need to go collecting NTFPs and hunting in the PA?
- What kinds of support do you expect from the government to restore your livelihood? Are there any potential life skills or materials locally available? What kinds of animals you think are good to raise? Is there any grazing land or feed for raising animals? What kind of crops do you think you can grow?
- If you can't do, what kinds of technical support do you expect from the district, eg DAFO?
- What else? Do you have any suggestions on how to improve your livelihood instead of relying on collecting PA resources?

## **Annex 6: Presentation materials**

## Annex 6.1: LEnS additional financing (including community conservation networks (CCN), ESSF and NT-NK RBCC).



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**Environment Protection Fund**

**LEnS Additional Presentation  
to the IP workshop**  
Date: **September 11, 2009**

Present by Environment Protection Fund and WB\*

### Background

- World Bank and NTH2
- NT2 and Lao Environment and Social Project (LEnS)
- LEnS is implemented since 2005 to 2010
- LEnS attends to support its existing PDO by up scaling its results and focus area implementation

### LEnS Objectives

- The overall PDO is to assist the country to strengthen the management of environmental and social issues associated with the sustainable use of natural resources in Lao PDR for enhancing quality of growth and reducing poverty. The specific objectives are;
- to strengthen institutions and instruments for assessment, monitoring and compliance for environmental and social sustainability;
- invest in on-the-ground environmental improvement activities, with emphasis on sustainable biodiversity management, community environmental management; and
- operationalize the EPF to become a permanent entity that is eligible to use NT2 revenues for priority environmental protection activities.

### LAF Objectives

- strengthen technical and management capacity of EPF and WREA, including facilitating activities to tap NT2 revenue. Enhancing capacity to implement the ESIA Decree;
- strengthen technical and management capacity of the central and local agencies to address the social impacts;
- strengthen capacity of national and local agencies to plan and address cumulative impacts through an adaptive management following an integrated river basin management

### Main activities of LAF

- ◎ PICE
  - A1: Environment monitoring
  - A2: NT-NK IWRM**
  - A4: ESIA Process
  - A5: Environment Education and Awareness
- ◎ CBI:
  - B1: PA Management
  - B2: Community environment**
- ◎ WMU:
  - Capacity building
  - EPF activities development
  - Monitoring and Evaluation

### CBI

- B1: PA management (Bolikhamsay)**
  - PA management and consevation
  - Improve policy and regulations on PA management
- B2: community environment management (Bolikhamsay)**
  - Khamkheurt district (5 villages)
  - Pakkading district (6 villages)

## CCN (\$450,000)

**Objectives**

- Increase awareness of communities surrounding NNT and NKD-NPAs on the importance of NPA
- Build a strong biodiversity conservation network at community level, and communities actively participate in the NPA protection activities.
- Improve community's livelihood through increased crops, livestock production and household incomes.
- Sustainable management and use of Non Timber Forest Products (NTFPs) in the project target villages surrounding NNT and NKD-PAs.



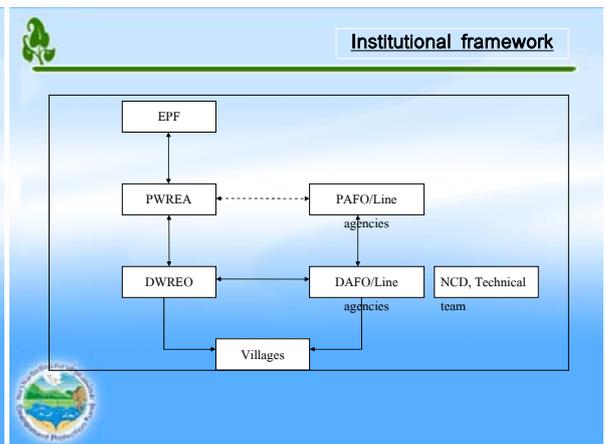
## Target villages of CCN

- **Khamkeurt district (5 villages surrounding NT PA)**
  1. Thongpe
  2. Nangoy
  3. Khonken
  4. Phonsaath (Phonsaath, Phonkeo and Pakkatan)
  5. Namdeurn
- **Pakkading district (6 villagers surrounding Namkading PA)**
  1. Naphong
  2. Nahin
  3. Nabouy
  4. Phonsi
  5. Phonggam
  6. Namdeua



## CCN main activities

- a) Build coordination network between province, district and village for PA conservation
- b) Capacity building for district and community for PA conservation
- c) Raise awareness on PA and natural resources conservation
- d) Support on both technical assistance and financial support for targeted livelihood development

## NTHNKD RBM

**Objectives**

- (a) build technical capacity to monitor water flow, water quality, fisheries, and ecology in target areas to ensure that minimum cumulative impacts can be managed;
- (b) ensure effective coordination among these hydropower stations to optimize the water resources use yet mitigate the cumulative impacts for riparian communities from the four hydropower stations,
- (c) ensure effective protection of the watershed by providing adequate funding,
- (d) provide riparian communities with fair share of the water resources towards better livelihood



## NTHNKD RBM

**Main outputs/outcomes**

- Legal docs. On RBM (NTHNKD) were produced and disseminated
- RBC was created and operated
- # of staff in national, provincial and district were trained on RBM

**Implementation arrangement**

- Department of Water Resources with coordination with PREO and DOEO



### Positive and negative impacts of the CCN

Positive	Negative
1) Improve coordination network of provincial district and community for PA conservation	1) Limited access to use PA resources
2) Support community livelihood development integrated to PA conservation	2) Limited area for cultivation
3) Raise awareness on the appropriate and sustainable use of NTFPs	3) Limited area for collecting NTFPs,
4) Improve community living condition within their participation	

- ### Environment and Social Safeguard Framework
- Government policy on safeguard
  - Compensation and Resettlement Decree **192**:
  - ESIA,
  - Natural resources
  - Cultural heritage

- ### Environment and Social Safeguard Framework
- #### 4 Steps on the Environment and Social monitoring
- Step 1: check on negative list
- Step 2: identify issues and seek mitigation measures
- Step 3: prepare mitigation plan for social and environment and disclosure
- Step 4: approve and implement mitigation action plan

### Environment and Social Safeguard Framework of the Lao government and WB

Identified issues	Mitigation measures
Land equesitions	Try to avoid by designing project or prepare action plan to mitigate the impacts with WB
Limited to use natural resources	Prepare mitigation plan with consultation with effected community
Disadvantage ethnic groups	If there is disadvantage ethnic groups in the project area, it is needed to consult with them by their language to ensure the full participation

<b>Sub-grant Title</b>	<b><u>Community Conservation Network for Nam Theun and Nam Kading PA</u></b>
<b>Estimated Budget (in USD)</b>	<b>USD \$450,000</b>
<b>Main Objectives</b>	<ul style="list-style-type: none"> <li>- Increase awareness of communities surrounding NT and NKD-NPAs on the importance of NPA in term of global biodiversity rich and watershed protection for the hydropower projects development such as the NT2, THB and NT1.</li> <li>- Build a strong biodiversity conservation network at community level, and communities actively participate in the NPA protection activities. Develop, publish and distribute rule, regulation and guideline for biodiversity conservation.</li> <li>- Improve community's livelihood through increased crops, livestock production and household incomes with direct links to promote less intensive dependence on forest resources.</li> </ul>

	<ul style="list-style-type: none"> <li>- Sustainable management and use of Non Timber Forest Products (NTFPs) in the project target villages surrounding NNT and NKD-PAs.</li> </ul>
Main Activities	<ul style="list-style-type: none"> <li>- Institutional arrangement and capacity building.</li> <li>- Community outreach and awareness raising.</li> <li>- Community livelihood development.</li> <li>- Natural resources management and biodiversity conservation.</li> <li>- Implementation arrangement.</li> </ul>
Main Outputs	<ul style="list-style-type: none"> <li>- Network for community conservation</li> <li>- On the ground investment for livelihood development</li> </ul>
Implementing Agency/Organization	PWREO, Pakkading and Khamkeurt districts
Target Beneficiaries	5 village from Khamkeurt district and 6 villages from Pakkading district
Project duration	2 years

Sub-grant Title	<u>NTH-NKD River Basin Management</u>
Estimated Budget (in USD)	USD \$290,000
Main Objectives	<ul style="list-style-type: none"> <li>- build technical capacity to monitor water flow, water quality, fisheries, and ecology in target areas to ensure that minimum cumulative impacts can be managed;</li> <li>- ensure effective coordination among these hydropower stations to optimize the water resources use yet mitigate the cumulative impacts for riparian communities from the four hydropower stations,</li> <li>- ensure effective protection of the watershed by providing adequate funding,</li> <li>- provide riparian communities with fair share of the water resources towards better livelihood.</li> </ul>
Main Activities	<ul style="list-style-type: none"> <li>- Review regulations and laws on the RBM</li> <li>- Following the setting up of NTH-NKD RBO</li> <li>- Capacity building for WREA and PWREO and other line concerned departments</li> <li>- Prepare action plans for RBO</li> <li>- Implementation of RBO</li> </ul>
Main Outputs	<ul style="list-style-type: none"> <li>- Legal Doc. Of RBO</li> </ul>

	<ul style="list-style-type: none"> <li>- RBO and its functions</li> <li>- Coordination system for operation of RBO</li> </ul>
Implementing Agency/Organization	DWR/WREA and PWREO of Bolikhamxay
Target Beneficiaries	WREA, PWREO, Pakkading and Khamkeurth districts
Project duration	2 years

## Annex 6.2: Houay Ngoua PA Phase 2 Project Summary

Sub-grant Title	Capacity Building in Protected Area Management with Community Participation
Estimated Budget (in USD)	USD \$58,029
Main Objectives	<p>1) To improve HNG PA as a field campus for training students to carry out biodiversity, tree, wildlife, and NTFP surveys by developing a management plan for HNG with the Bolikhamxay Ag/Forestry College and engaging over 100 students in conducting surveys by September 2010</p> <p>2) To reduce illegal logging and unsustainable NTFP collecting by 25% by September 2010 by maintaining a regular presence at the two checkpoints and conducting weekly patrols in HGN PPA.</p>
Main Activities	<ol style="list-style-type: none"> <li>1) Confirmation and establishment of baseline data             <ol style="list-style-type: none"> <li>a. Current prevalence of illegal logging and NTFP collecting</li> </ol> </li> <li>2) PA Management Training for field-level staff through the NUOL/WCS Training program</li> <li>3) Develop management plan for PA and curriculum plan for using HNG as a field campus</li> <li>4) Train villagers for patrolling and establish informant-based villager network for illegal logging</li> <li>5) Train staff for enforcement at checkpoints; train students to assist at checkpoints</li> <li>6) Conduct field courses for BAFC students to conduct biodiversity, tree, wildlife, NTFP, and other surveys</li> <li>7) Compile all data collected on HNG into a database</li> <li>8) Support development and livelihood activity in villages surrounding HGN PA</li> </ol>
Main Outputs	<ol style="list-style-type: none"> <li>1. Over 100 students from BAFC learned and ready to apply PA management with community participation</li> <li>2. Community in HGN's surrounding villages better understand the PA conservation's rules and regulations; and experience in forest protection and actively participate in HGN PA conservation activity</li> <li>3. Management Plan of HGN and other Provincial PAs</li> <li>4. Completed database that holds all information for HNG (all data collected in Phase I of the HNG project, Phase II, and other relevant HNG projects) and can be used as a management tool, including biodiversity survey results, illegal logging data, socio-economic data for future research of students, teachers, local and international interested researchers.</li> <li>5. Report on informant network</li> </ol>

	6. Report on illegal logging and NTFP collecting
Implementing Agency/Organization	PAFO Bolikhamxay Province and Bolikhamxay Agriculture and Forestry College
Target Beneficiaries	Community surrounding HGN PA and Implementing Agencies gain experience (students and teachers)
Project duration	2 years
Other Donors/Funders for the Project	Luxumberg Development is funding complementary biodiversity survey activities

### **Annex 6.3 Government policy on IP**

Greetings your excellency, Mr. Chairman, ladies and gentlemen!

I believe that this consultation workshop is very important for the implementation of the socioeconomic action plan. Protected areas play a very critical role for the local ethnic groups' livelihoods. Therefore this workshop aims to provide an opportunity for concerned ethnic groups to give comments about PA issues, particularly conserving PA for sustainable use by the local communities and mitigating the potential impacts to the environment and disadvantaged ethnic groups who live in the surrounding PAs. This will help ensure the abundance of natural resources in each PA and long term integrated development. Today, the workshop will facilitate discussions about issues and potential solutions for future PA conservation integrated into the livelihood development which is suitable for each ethnic group in the targeted area.

The definition of PA and its conservation objectives will be discussed in this workshop.

Ethnic group issues which are relevant in this workshop's discussions are summarized below:

- *Mandate of the LFNC:* In Part 1 and Article 7 of Lao Constitution dated 2003 states that "LFNC, Youth Union, Trade Union and Lao Women Union are civil organizations who are responsible for harmonization, organization of all class of residents, all ethnic groups to: (i) protect and development the nation, (ii) protect human rights and their property.
- *Right of ethnic groups:* Article 40 of the Constitution highlights the right and obligation of all ethnic groups that: " all Lao citizens have a right to (i) settle anywhere within the country, (ii) move according to Article 49 of the Lao Citizen Law, (iii) respect all Constitution and Laws, (iv) comply with Labor Regulations and Citizen Regulations.
- *Ethnic groups and ethnic conflict:* Article 8 of the Constitution states that all ethnic groups have: (i) equivalent right in front of the Law, (ii) the right to protect the nation and promote their own cultural heritage , (iii) prohibit all activities which would break the relationship between each ethnic group.

To ensure the project design to meet community needs and produce maximum benefits to targeted communities, all parties (stakeholders) need to consult to understand the project objectives, outputs and outcome. Moreover, all parties have to understand the obligations of each stakeholder and feasibility of doing the project.

**Annex 7: Summary of Articles broadcasting in Hmong and Khmou languages from National Radio Station (35 minutes broadcasting)**

<b>No</b>	<b>Articles</b>	<b>Summary of the article</b>
1	Procedure of the EG consultation workshop in BKX (4 minutes)	PA conservation context and community livelihood linkage to PA resources and approach for conservation development and community participation on the LAF planning process
2	Key speech of Mr. Soukata Vichit, Executive Director of EPF (3 minutes)	Highlight on the EPF background and how EPF contributes to environment protection and community environment management as well as community development to overcome poverty
3	Key speech of Nyiakeuya, Director of Department of Ethnic Affairs, LFNC (5 minutes)	Summary of right of ethnic groups according to the Laws and Constitutions. Classification of ethnic groups (results of 2008 study)
4	Key speech of Sibounheuang Phandanouvong, WB Social Specialist (4minutes)	ESSF and it procedures
5	Key speech of Mr. Douangchanh Lopaying, Executive Assistant, EPF (5 minutes)	LAF: objectives, activities, main outputs outcome, positives and negative impacts to the PA and community including disvantage ethnic groups
6	Key speech of Keovongdeuang and Khamsavath on the PA management linkage to the commuity development in HNG, NTH-NKD PAs (3 minutes)	Main objectives and activities of the PA management in each PA, community participation to the project planning and implementation
7	Results of HNG Consultation Workshop and interview with community in Nonsomboun village (HNG PA), Bolikhan district (5 minutes)	Community needs and opinion on the HNG PA management with livelihood development of community surrounding the PA
8	Results of Pakkading workshop and interview with community in Namdeua village (NKD PA), Pakkading district (6 minutes)	Community needs and opinion on the NTH-NKD PA management with livelihood development of community surrounding the PAs

## **Annex 8: List of workshop/consultation meeting participants**

### **Annex 8.1: List of participants in the village meeting at Nonsomboun village for HNG PA Phase 2 consultation (10 Sep 2009)**

<b>No</b>	<b>From sector/office/village</b>	<b>Number</b>	<b>Remarks</b>
1	District Deputy Governor	1	Co-Chair
2	District LFNC	1	
3	District cabinet office	2	
4	Kumban/Khet (Head of district resettlement unit)	3	Facilitator
5	DAFO	1	
6	PAFO	1	
7	Forestry Collage	2	Project Presenter
8	Pfvincial cabinet office	1	
9	Provincial LFNC	1	
10	LFNC	2	Chair and Facilitator
11	National Radio Center	2	Kh mou and Hmong translators
12	EPF	3	
13	WB	1	
14	Hmong community in Nonsomboun village	5 (3 women)	
15	Kh mou community in Nonsomboun village	35 (28 women)	
	Total	61 persons	

### **Annex 8.2: Workshop at Pakkading district for LAF/ESSF consultation, 11 Sep 2009**

<b>No</b>	<b>From sector/office/village</b>	<b>Number</b>	<b>Remarks</b>
1	District Deputy governor	1	Co-Chair
2	District LFNC	1	
3	District cabinet office	2	
4	District WREO	2	Facilitator
5	DAFO	1	
6	PAFO	1	
7	Pfvincial cabinet office	1	
8	Provincial LFNC	1	
9	LFNC	2	Chair and facilitator
10	National Radio Center	2	Kh mou and Hmong translators
11	EPF	5	
12	WB	1	
13	Hmong community in Nonsomboun village	1 (1 woman)	
14	Kh mou community in	4 (0	

15	Nonsomboun village Head of village and Total	women) 11 36 persons
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