



Lao People's Democratic Republic
Peace Independence Democracy Unity Prosperity

Ministry of Public Works and Transport

Stakeholder Engagement Plan
The Northern Lao PDR Regional Economic Corridor and
Connectivity Project (P176088)

Prepared by: Environmental Research and Disaster Prevention Division (EDPD)
Public Works and Transport Research Institute (PTRI)

09 December 2021_Revised Draft

LIST OF ACRONYMS

AIIB	Asian Infrastructure Investment Bank
BCF	Border Crossing Facility
DOE	Department of Environment-MONRE
DAFO	Agriculture and Forestry Office
DOF	Department of Forestry-MAF
DOL	Department of Land-MONRE
DoR	Department of Roads
DPWT	Department of Public Works and Transport (DPWTs)
DRC	District Resettlement Committee
DWR	Department of Water Resources
EDPD	Environmental Research and Disaster Prevention Division
EGEF	Ethnic Group Engagement Framework
EGEP	Ethnic Group Engagement Plan
ESCP	Environmental and Social Commitment Plan
ESF	Environment and Social Framework
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environment and Social Standards
FPIC	Free Prior and Informed Consent
GBV	Gender Based Violence
GOL	Government of Lao PDR
IDA	International Development Association
IP	Indigenous Peoples
IUCN	International Union for Conservation of Nature
KBA	Key Biodiversity Area
LFND	Lao Front for National Development
LSB	Lao Statistic Bureau
LWU	Lao Women's Union
MAF	Ministry of Agriculture and Forestry
MICT	Ministry of Information Culture and Tourism
MOF	Ministry of Finance

MOIC	Ministry of Industry and Commerce
MOPS	Ministry of Public Security
MPI	Ministry of Planning and Investment
MPWT	Ministry of Public Works and Transport
NCAW	The National Commission for the Advancement of Women
NDF	Nordic Development Fund
NGO	Non-Government Organization
NLRECC	Northern Lao PDR Regional Economic Corridor and Connectivity Project
NR2	National Road 2
NUOL	National University of Laos
PAFO	Provincial Agriculture and Forestry Office
PO	Producer Organizations
PRC	Provincial Resettlement Committee
PTRI	Public Works and Transport Research Institute (PTRI)
RC	Resettlement Committee
ROW	Right of Way
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
SA	Social Assessment
SEA/SH	Sexual Exploitation and Abuse/Sexual Harassment
SEP	Stakeholder Engagement Plan
WB	World Bank
WCS	Wildlife Conservation Society

Table of Contents

<i>LIST OF ACRONYMS</i>	<i>ii</i>
<i>EXECUTIVE SUMMARY</i>	<i>iii</i>
<i>1 Introduction/Project Description</i>	<i>1</i>
<i>2 Project Location and Context</i>	<i>4</i>
<i>3 Purpose of the Stakeholder Engagement Plan (SEP)</i>	<i>9</i>
<i>4 Stakeholder identification and analysis</i>	<i>9</i>
4.1 Affected parties.....	9
4.2 Other interested parties.....	10
4.3 Disadvantaged/vulnerable individuals or groups	11
4.4 Stakeholder Analysis; Needs and Methods of Stakeholder Engagement	12
<i>5 Stakeholder Engagement Plan</i>	<i>20</i>
5.1 Purpose and timing of stakeholder engagement plan.....	20
5.2 Disclosure of Information	21
5.3 Proposed strategy for consultation and disclosure	26
5.3.1 At central level	27
5.3.2 At provincial and district level.....	27
5.4 Consultations and Covid 19 Safety Precautions	28
5.5 Proposed strategy to incorporate the view of vulnerable groups	29
5.6 Timelines	31
5.7 Review of Comments.....	33
5.8 Reporting back to stakeholder groups.....	33
<i>6 Resources and Responsibilities</i>	<i>34</i>
6.1 Resources	34
6.2 Management functions and responsibilities	34
<i>7 Grievance Redress Mechanism</i>	<i>37</i>
7.1 Grievances Procedures.....	37
7.2 Recording Grievances	41
<i>8 Monitoring and Reporting</i>	<i>43</i>
<i>9 Annexes</i>	<i>43</i>

Annex 1: Form to Submit Grievances.....	44
Annex 2: Results of Consultation Meetings and Interviews during Project Preparation	45
Annex 3: Provisional budget for the SEP (For further discussion with PTRI and E&S Consultants)	72
Table 1 Summary of needs and methods for stakeholder engagement.....	13
Table 2: Disclosure of Documents.....	23
Table 3 Indicative Timeline	31
Table 4 Staff and Responsibilities for SEP Activities.....	35
Table 5 Sample Grievance Log for the at the Village Level	41

EXECUTIVE SUMMARY

This Stakeholder Engagement Plan (SEP) includes the process of engaging stakeholders for a clear purpose to achieve agreed outcomes. It is now also recognized as a fundamental accountability mechanism since it obliges an organization to involve stakeholders in identifying and understanding of the specific program/project and responding to issues and concerns raised by the stakeholders for decisions, actions, and hence improving program/project performance.

The proposed NLRECC project will support the Government of Lao PDR (GoL) to improve regional and domestic transport connectivity, the efficiency of logistics, and cross-border trade, and the capacity to manage multi-modal transport to benefit the people in selected economic corridors in Northern Lao PDR. It has five components:

- (a) Component 1: Lao PDR and Regional connectivity enhancement;
- (b) Component 2: Logistics services development and border-crossing management;
- (c) Component 3: Strengthening institutional capacity and regulatory framework in agriculture, transport, and investments planning;
- (d) Component 4: Project Management; and
- (e) Component 5: Contingency Emergency Response.

This SEP will be managed and implemented by the Project Management Unit (PMU) of MPWT and Component Management Units (CMUs) of other ministries with the technical support from Environmental Research and Disaster Prevention Division of the Public Works and Transport Research Institute (EDPD/PTRI). The overall objective of this SEP is to define the NLRECC stakeholders' engagement process, public information disclosure and consultation.

Furthermore this SEP outlines the ways in which MPWT, DPWTs, other project implementing agencies, consultants and contractors will communicate with stakeholders, mechanism by which people can raise their concerns, how the raised concerns will be acted and responded upon. These stakeholders identified are those either affected and/or interested parties. The identification of stakeholders under the NLRECC project will be based on (i) their roles and responsibilities; and possible influence/interest on the program. Particular attention will be given individuals at risk of being excluded from the subproject activities. Stakeholders to be involved in the project include: Positively affected - group of persons or organizations affected by an activity such as project affected person or community. Negatively affected - include individuals and institutions with various interests in the land that is within the Right-of-Way (RoW). Majority of these are the land owners with established structures or farms who will be affected by the loss of the land, structures and economic earnings. Other interested parties - group of persons or organizations interested in an activity and may include local or national government authorities, civil society organizations including NGOs. Vulnerable individuals or Disadvantaged groups identified include, children,

women, ethnic groups, people with disabilities, the elderly and youth. The information disclosure and consultations with stakeholders will be conducted through a range of techniques including focus group discussion (based on age, gender and occupation), interviews, key informants, and e-mails. A verbal translation will be provided into ethnic language in communities where ethnic people are affected.

Consultation may take the form of face-to-face meetings. Issuance of official letters (submitted at least two weeks ahead of the consultations) to inform affected and interested stakeholders of the purpose of the consultation event. Recognizing that face to face meetings are preferred, but when/where not feasible due to covid19, virtual meetings, using a variety of platforms, will be organized.

Further, project-specific information (e.g., ESMF, RPF, EGEF, etc.), will be disclosed in MPWT website as well as World Bank's external website, and will also be available at the provincial and district levels. Key information will be disclosed in both English and Lao language or even local dialects of ethnic groups which can be easily understandable format either by audio and photo or drawing /print (e.g. booklet or flyers) formats. This SEP and other E&S instruments were first disclosed on November 15, 2021 at the MPWT website www.mpwt.gov.la and consulted at the national, provincial, district and village level from November 29, 2021 until December 3, 2021.

Comments from stakeholders will be received by the project in written and oral forms (using suggestion boxes, local leaders, public meetings, interviews, on-line, email, Facebook, etc). The PMU and CMUs with the support from EDPD/PTRI will review stakeholders' comments and send back the final decision and a summary of how comments were taken into account. There will be establishment of GRM Committees at Village, District and Provincial levels as well as at the Project Management Unit of DPWT and Component Management Units of other ministries. For workers hired by contractors, the contractors will be required to produce their GRM procedure as a prerequisite for tender which at a minimum conform to these requirements. This SEP document offers a strategy and implementation plan for engaging stakeholders from the beginning of the project up to completion. Nonetheless SEP is the backbone of the project for effective and efficient success. And is a live document that will be revisited and updated if necessary on an regular basis as required to reflect the changes in stakeholder engagement due to project developments and new stakeholders if any.

1 Introduction/Project Description

1. The proposed NLRECC seeks to improve regional and domestic transport connectivity and the cross-border trade efficiency for beneficiaries in selected corridors in Northern Lao PDR, and to provide immediate and effective response in case of an Eligible Crisis or Emergency.

2. Detailed Description of Components are as follows:

➤ **Component 1: Lao PDR and Regional connectivity enhancement.** This Component will support MPWT to improve connectivity in the northern part of Lao PDR to provide safe, efficient, climate-resilient, and reliable infrastructure for both international transit routes and domestic connectivity through:

(i) **Sub-Component 1.1: NR2W climate resilient improvement and maintenance.** This sub-component supports the improvement and maintenance of condition, safety, and climate resilience of selected sections of NR2W¹ to meet the Asian Highway Class III standards, including widening of the road from 6 meters to 8 meters (6 meters of the carriageway and 2 meters of shoulders-one meter each side to accommodate pedestrian's safety) and rest areas. This subcomponent will implement the Output and Performance-Based Road Contracts (OPBRC), with 3 years for construction and 7 years for operations and maintenance. This subcomponent will ensure the equal opportunity of women and men from local communities in paid jobs under the road works contracts. The Department of Road (DOR), MPWT, will be the lead implementing agency for this sub-component. Local communities, with a particular focus increasing women's voice and agency in this male dominated sector, will participate in the monitoring of the OPBRC road improvement and maintenance contracts.

(ii) **Sub-Component 1.2: Local Road climate resilient improvement and maintenance.** This sub-component supports the improvement and maintenance of climate resilience and safety of selected local roads in Phongsaly, Oudomxay, Luang Namtha, Xayabouly, and Luangprabang. The performance-based contract (PBC) approach will be used for maintenance. This subcomponent will ensure the equal opportunities of women and men from local communities in paid jobs under roads maintenance. The Department of Road (DOR) and the provincial Department of Public Works and Transport (DPWT) will be the lead implementing agency for this sub-component. Local communities, with a particular focus increasing women's voice and agency in this male dominated sector, will participate in the monitoring of the road improvement and PBC maintenance contracts.

(iii) **Sub-Component 1.3: Improvement of the border crossing facilities.** This sub-component supports the improvement of the border crossing facilities road

¹ The NR2E sections will be financed by EIB in parallel to this project.

NR2 at (a) Pang Hok in Phongsaly bordering to Dien Bien Phu, Vietnam and (b) Muang Ngeun in Xayabouly bordering to Nan province, Thailand, through the upgrade of the existing facility and provision of goods and equipment for digitization of cross-border business processes. This subcomponent will ensure the equal opportunities of women and men from local communities in paid jobs under the cross-border facilities improvement contracts. This will also be led by the DOR with support from the Department of Urban Planning (DUP), MPWT.

- (iv) **Sub-Component 1.4: Implementation support and supervision consultant.** This sub-component will finance (a) implementation support and supervision consulting services for the design and supervision of the NR2, local roads, and cross-border facilities improvement, and (b). The sub-component will also support MPWT and DPWT working on the mechanism for local road maintenance planning and financing. This sub-component will ensure the equal opportunity of women and men in road work supervision.

➤ **Component 2: Logistics services development and border-crossing management.** This Component will support the operations of cross-border trade and logistic development through:

- (i) **Sub-Component 2.1: Dry ports and logistics development.** This sub-component supports MPWT to improve the efficiency and competitiveness of Logistics services in the economic corridor through: (i) formulation of policies to improve enabling environment for competitive logistics services; (ii) FS for dry-ports and consolidation locations, including the development of the Standard Operation Procedures (SOPs) for the development of dry-ports and consolidation locations; (iii) provide public utilities to the dry-ports and consolidation locations, to be developed as Public-Private Partnerships. This sub-component will be led by the DOT and involved agencies concerned at the provincial level.
- (ii) **Sub-component 2.2: Regional integration and cross-border transport agreements.** This sub-component will support GoL to improve cross-border transport efficiency. The proposed activities include technical assistance to (i) establish a platform for collaboration among Lao PDR, Thailand, and Vietnam; (ii) strengthen the capacity to implement cross-border transport agreements and address cross-border transport issues, such as harmonization of heavy vehicle dimensions and standards; permitted axle loads; driver licensing; climate change; road safety; communicable disease control; and, (iii) improve legislative frameworks to support implementation of cross-border transport agreements.
- (iii) **Sub-component 2.3: Strengthening capacity CIQ and Border Management.** This sub-component covers: (i) financing technical assistance to review and improve secondary legislation in border management; (ii) providing training to strengthen institutional and operational capacity of CIQ,

including communicable diseases and human trafficking; (iii) provide equipment and software customization to optimize border clearance; and (iv) promoting cross-border cooperation for improved CIQ management including information sharing. This sub-component will place a particular focus to ensure equal access to information related to CIQ for women and men. The Trade Facilitation Secretariat (TFS), MOIC, will be the lead coordinating agency for this sub-component.

➤ **Component 3: Strengthening institutional capacity and regulatory framework in agriculture, transport, and investments planning.** This component will support strengthening institutional and operational capacity in agricultural development, transport sector, and investment management at national and provincial levels.

(i) **Sub-Component 3.1: Support on agricultural trade and SPS Management.** The scope of this sub-component, which will be led by the Department of Agriculture (DOA), Ministry of Agriculture and Forestry (MAF), is mainly grouped into two parts:

a) Capacity development to support agricultural trade will focus on improving the enabling environment for agricultural trade activities. The key activities include: (i) financing technical assistance to review and improve business process for cross border trade for agriculture products through streamlining of export and import permits, raising awareness of traders' compliance with SPS requirements, and simplifying the registration of farm inputs; (ii) providing training to strengthen operational capacity for the MAF, Provincial Agriculture and Forestry Offices (PAFOs), and DAFOs in agricultural trade promotion; and (iii) capacity development to address key gender gaps in agricultural trade including unequal access to information for women, barriers registering businesses, accessing financial credit, technology and market

b) Capacity Building for SPS Management will focus on capacity building of MAF, Ministry of Health (MOH), PAFOs, District Agriculture and Forestry Offices (DAFOs), and border checkpoints for compliance of SPS requirements and reduce trade barriers in the targeted provinces and districts. Mainly, the activities cover (i) financing technical assistance to review and improve legislations relevant for SPS; (ii) providing training to strengthen institutional and operational capacity in SPS management; and (iii) financing technical assistance to carry out a laboratory assessment for upgrade and testing services.

(ii) **Sub-Component 3.2: Support on Multi-Modal Transport.** This sub-component, led by DPC, MPWT, includes (a) review and development of the legal framework, regulations, tools, and guidelines to support the implementation of multi-modal transport law, logistics development strategy and transport sector strategy, (b) development of multi-modal transport

network management framework and system, including investment planning for logistics sector development, (c) strengthening capacity for planning and implementation of the multi-modal transport network management framework and logistics development management at both national and provincial levels, (d) implementation of road safety action plan, (e) integrate disaster risk and climate change considerations into transportation and logistics investment decision-making processes, and (f) capacity development to address the gender gaps in the transport sector, including integrating gender and social inclusion (GESI) considerations in developing regulations and guidelines to support the implementation of the law and strategy. The sub-component will also develop and roll out annual advocacy and social and behavior change communication (SBCC) campaigns to support necessary changes for raising women's agency and voice, to change social norms to increase women's mobility and access to transport.

- **Component 4: Project Management.** This Component will provide technical and operational assistance for strengthening the environmental and social capacity of agencies concerned at national and local levels, the day-to-day management, monitoring and evaluation of the Project, and the carrying out of technical and financial audits. In addition, this component will provide support for compliance monitoring for environmental and social aspects. The sub-component will also strengthen the resilience of communities living along the project roads against human trafficking, communicable disease, road safety, sexual exploitation abuse and harassment through campaigns, training, dissemination of information. The following documents, which will also be prepared as part of the project requirement, include Project Procurement Strategy for Development (PPSD), including procurement plan, and Project Operational Manual (POM) - containing detailed information on the project implementation arrangements and processes, including coordination mechanism, project management, Monitoring and Evaluation (M&E) /reporting arrangement, procurement, financial management, disbursements, and safeguards.
- **Component 5: Contingency Emergency Response.** This component will provide an immediate response to an eligible crisis or emergency, as needed. In the event of an eligible crisis or emergency, the World Bank can re-allocate project funds to support emergency response and recovery.

2 Project Location and Context

3. The NR2 corridor passes through Oudomxay, Phongsaly and Xayabouly Provinces. The road passes through diverse communities, several district towns, and one provincial capital. The World Bank has rated the overall environmental and social risk classification as Substantial. Project activities have the potential to generate social risks and impacts including (a) pre-construction phase impacts from land acquisition

including the disruption of livelihoods and the relocation of households, along with the potential loss of culturally significant or spiritual spaces (b) construction phase risks such as restricted access to roadside properties, risks related labor and working conditions for construction workers, along with the risk of increased substance abuse and sexual exploitation and abuse/harassment and transmission of communicable diseases associated with labor influx (c) operational phase risks to community health and safety due to the increases in heavy traffic. Environmental risks and impacts expected are related to construction works on border crossing facilities and road improvement including widening and rehabilitation of the existing road network, the potential for downstream impacts from Technical Assistance activities in the agricultural component (still to be defined), and limited experience in the country with implementing the ESF. While some of these risks and impacts may be significant, they are for the most part predicable and possible to mitigate during the lifetime of the project.

4. A range of communities are expected to be affected (both positively and adversely) by the project, including ethnic groups whose livelihood is mainly dependent on agriculture and forest land and resources. While the NLRECC project includes improvement of transport connectivity and logistics in Lao PDR, trade facilitation, border crossing control management, and agriculture trade along the NR2 corridor and five provinces in the corridor catchment area, it is important to keep in mind the focus of the projects activities as defined in Section 1 as those will be the focus of this SEP.

5. There are several sensitive receptors along the NR2 West (NR2W) corridor including houses, schools, clinics, hospitals, restaurants, shops and pagodas. Space between these receptors and the road is limited, especially in the mountainous sections of the corridor. The road often lacks pavements with the road shared by all travelers, including pedestrians. Schools, from kindergarten to secondary school are located along the road with students walking on bicycle or motorbike to get to school. Some kindergarten children ages as young as 6 years old may travel unaccompanied by adults. In the more remote communities, women travel on foot along the roads for moving produce, harvested goods, and firewood.

6. NR2W road crosses various agricultural landscapes, upland plantations, and farms, including upland rotational cultivation, dry season (irrigated) commercial crops farms as well as paddy fields. Some sections traverse areas covered with shrubs, grasses, and sparse trees.

7. The Nam Beng River flows on flat terrain along NR2 West, and the road crosses the river at several points. The Nam Beng river flows into the Mekong River about 9 km beyond the end of NR2 West section proposed for NLRECC financing. Laos's inland fish species are diverse and mostly native. Together with other aquatic species, they form important sources for household subsistence, income, and small-scale trade.

8. Meanwhile, some sections of NR2 East in Oudomxay Province are close to Phou Hippi National Protected Area with pristine old growth forest with giant dipterocarps (nyang oil tree) and limestone outcrops. The fauna along the road alignment is largely made up of large and small livestock raised by some households. A range of agricultural crops are cultivated in the corridor, including those for own consumption, as well as cash crops. Traders from Lao, Thailand, Vietnam, and China are active along the corridor. While the NLRECC will not finance rehabilitation works in NR2E, the project's Preliminary Environment and Social Impact Assessment (Pre-ESIA) and the Environment and Social Management Framework (ESMF), take cumulative impacts of the NR2 corridor improvement into account.

9. Due to COVID-19 related border crossing restrictions, current road traffic volumes in the NR2 corridor are low compared to 2019, especially on the eastern section towards Vietnam.

10. The Border Crossing Facility (BCF) in Vietnam is on a mountain top, surrounded by forest, and close to an internationally recognized Key Biodiversity Area (KBA) with important bird species and biodiversity value, with a community several kilometers away, on a lower location of the mountain. The BCF with Thailand is in a low sloping hilly area, surrounded by agricultural lands, several kilometers away from a community. Both border posts provide accommodation to the staff working at them.

11. Feeder roads of the NR2 corridor are seasonal gravel roads in a range of 5-30 km, crossing agricultural areas with communities living alongside these roads every several km and hard to travel during the wet season.

12. Lao PDR is considered extremely susceptible to the effects of climate change. The country is prone to floods and landslides following seasonal tropical storms. Bridge crossings along the road alignment have historically exhibited flood conditions under heavy rainfall events. These natural hazards largely affected the country's agricultural and transport sectors. The transport infrastructure in Lao PDR is vulnerable to extreme weather events and climate change due to their poor design and low construction standards, lack of adequate maintenance, and technical designs that are not climate resilient. In 2018 flood damaged one-fifth of the Lao PDR's Road network.

13. The Pre-ESIA prepared for the project, part of the Environment and Social Management Framework (ESMF) provides more extensive details as to the socioeconomic and environmental conditions of the project area, and should be read in conjunction with this SEP.

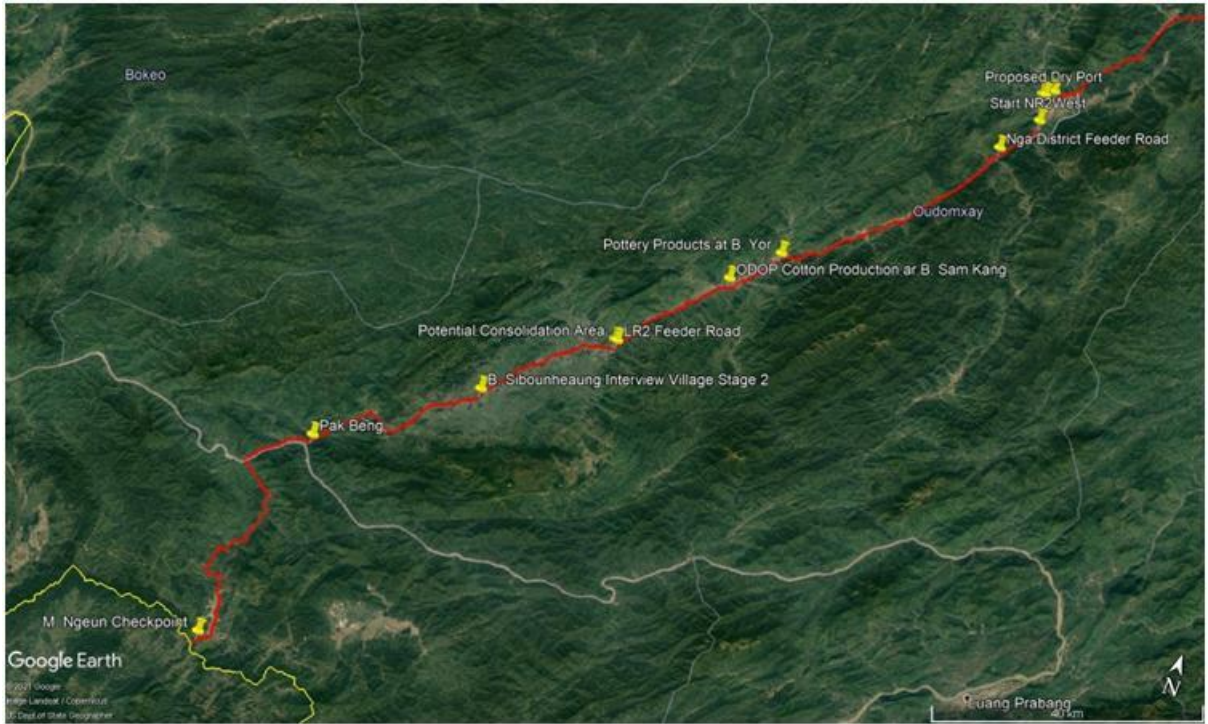


Figure 2-1 Key points of interests along the NR2 West

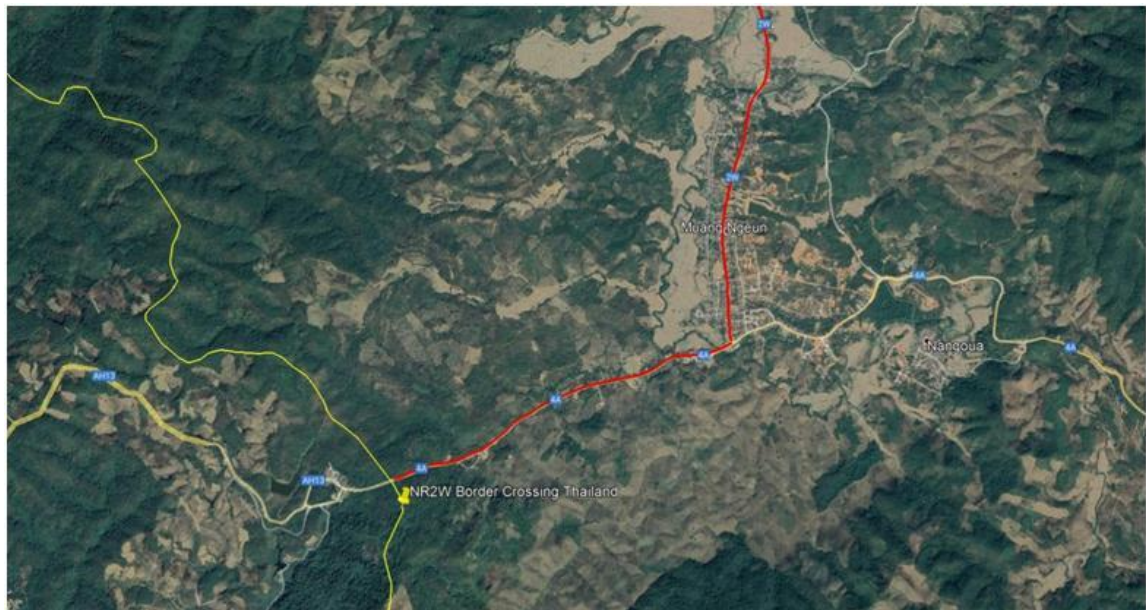


Figure 2-2 National Road 2 at Lao – Thai Border



Figure 2-3 National Road 2 at Lao – Vietnam Border

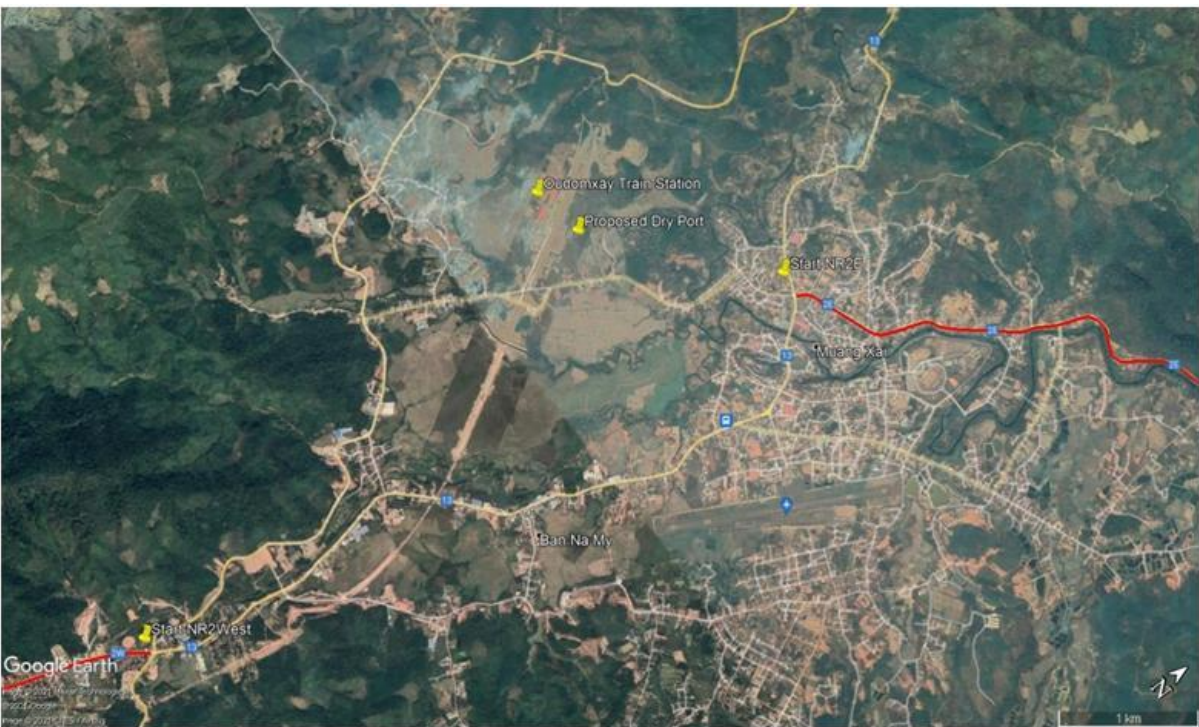


Figure 2-4 Location of proposed Dry Port and Consolidation Center in Muang Xay

3 Purpose of the Stakeholder Engagement Plan (SEP)

14. This Stakeholder Engagement Plan (SEP) is developed to inform engagement activities that will allow the project to identify and address key risks and impacts, as well as mitigation measures, and develop communication and engagement strategies and materials to effectively reach out to affected and interested stakeholders. The SEP aims to ensure accessibility and cultural appropriateness. The approach to engagement activities will take into account the needs of ethnic groups, vulnerability, language, literacy as well as consent, and child protection measures, both as part of engagement and assessment process. The engagement will ensure not only risks are managed but benefits are accessible to all.

4 Stakeholder identification and analysis

15. The project is expected to involve diverse groups of stakeholders from national to village levels, including local communities, government line agencies, mass organizations and the private sector. During the Pre-ESIA undertaken in preparation for project appraisal by the WB, affected and interested parties were identified and validated with a number of stakeholders. The SEP is a living document and, it should be consulted and refined once further assessments – such as the forthcoming full ESIA – are undertaken, as well as during project implementation, to ensure all stakeholders are identified and appropriately engaged.

16. At this stage of project preparation, three broad categories of stakeholders are identified:

- (i) **Affected parties**, who are those impacted by the project positively or negatively.
- (ii) **Government Agencies** who are responsible for project implementation
- (iii) **Interested parties**, who are those not impacted by the project but may be interested in the Project outcomes and/or may have an influence on the project.

4.1 Affected parties

17. Directly affected stakeholders include the following:

- 1) Ministry of Public Works and Transport (MPWT)
- 2) Ministry of Industry and Commerce (MOIC)
- 3) Ministry of Agriculture and Forestry (MAF)
- 4) Ministry of Finance (MOF)
- 5) Ministry of Public Security (MoPS)
- 6) Provincial Offices of Department of Public Works and Transport (DPWTs)

- 7) Ministry of Planning and Investment (MPI)
- 8) People living along the NR2W road corridor, near the BCFs and along selected feeder roads and/or consolidation facilities (to be defined during project implementation).
- 9) Land users along the NR2W corridor and near the BCFs, and in selected feeder roads and/or consolidation facilities.
- 10) Schools, health centers and cultural or religious centers that are on NR2W, or along feeder roads, and may be impacted by construction disturbances or by land acquisition.
- 11) Ethnic peoples who may have collective attachment to the project area.
- 12) Disadvantaged/vulnerable individuals/groups (further defined in 3.4).
- 13) Private investors who may be impacted, positively or negatively, by road improvement, BCFs or consolidation facilities (e.g., road construction companies, agribusiness, road transport companies, and infrastructure); and
- 14) Government staff benefitting from the capacity building and government staff working at the border posts.
- 15) Contractors in charge of civil works, and their staff

4.2 Other interested parties

18. Relevant government departments at the national, provincial and district levels, involved in issues of environment, investment, development, research, data generation and education, including:

- 1) Ministry of Health and provincial and/or district-level departments
- 2) Ministry of Education and provincial and/or district-level departments
- 3) Department of Land (DOL)/Ministry of Natural Resources and Environment (MONRE).
- 4) Department of Environment (DoE), MONRE.
- 5) Department of Forestry (DoF), Ministry of Agriculture and Forestry (MAF)
- 6) Department of Water Resources (DWR), MONRE
- 7) Lao Front for National Development (LFND): Ethnicity issues.
- 8) Lao Women's Union (LWU): Women issues.
- 9) The National Commission for the Advancement of Women (NCAW) (GBV focus)
- 10) Lao Statistical Bureau (LSB): Social Economic Data.
- 11) National University of Laos (NUOL).

- 12) Frequent road users
- 13) Road safety network
- 14) Supply chain (businesses)
- 15) Entities working on ethnic groups, children, human trafficking, Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH), Gender Based Violence (GBV) and environment such as:
 - a. Gender and Development Association (GDA) (Local NGO)
 - b. Save the Children International (International NGO)
 - c. CARE International (International NGO)
 - d. Wildlife Conservation Society (WCS)
 - e. International Union for Conservation of Nature (IUCN)
 - f. The Asia Foundation (TAF)
 - g. Plan International
 - h. Helvetas
 - i. Association Development Women Legal Education (ADWLE)

4.3 Disadvantaged/vulnerable individuals or groups

19. Disadvantaged/vulnerable individuals or groups includes 1) households below the poverty line of \$3.20 per day, 2) households headed by elderly with no means of support; (3) female headed households, especially those below the poverty level; (4) households with a disabled member; and (5) Ethnic people.

20. These people/groups are disadvantaged/vulnerable due to their potentially significantly lower ability to access and/or understand information about the project and its impacts compared to other groups due to physical, social or cultural constraints.

21. These categories of people will be given particular attention through targeted methods that will enable information sharing and understanding of the nature of project activities and the anticipated positive and potential negative impacts of the project as well as their expectations. Specific meetings and focus groups as well as individual household visits with these groups of people with specific and tailored messages will be used in consideration of their existing challenges. This will include both the sharing of information as well as the gathering of information. So, for instance, impact assessment will ensure specific targeting of these groups to understand their specific needs and that risk assessment and mitigation take these into account. Information sharing activities will also ensure these groups are specifically targeted, to ensure they received information in an appropriate manner and are able to provide feedback.

22. Ethnic people in some parts of the project provinces such as Phongsali do not speak Lao. Meanwhile, some ethnic people may speak Lao, but their level of proficiency may be low, with low understanding and low literacy. While project information can be provided in written forms, vulnerable groups of people may still have difficulty in reading and understanding and may need different targeting methods. Vulnerable groups of people will need to be provided with translation in a minority language or local dialects, as appropriate, sign language, large and readable print, non-print materials, etc. Other considerations may also need to be taken into account, such as choosing accessible venues for events; providing transportation for people in remote areas to the nearest meeting; having small, focused meetings where vulnerable stakeholders are more comfortable asking questions or raising concerns, etc. Interested stakeholders, especially organizations active in the project area which work with vulnerable people/groups (who may be more aware the best ways to engage various vulnerable groups), should be consulted and may be contacted for assistance in engaging with vulnerable groups.

4.4 Stakeholder Analysis; Needs and Methods of Stakeholder Engagement

23. A summary of the specific needs and methods for stakeholder engagement is provided by Table 1.

Table 1 Summary of needs and methods for stakeholder engagement

Group	Characteristics	Interest or Concern	Proposed Strategies
Affected Stakeholders			
<p>People living or running businesses along the road and within the location of the crossing border facilities, special provisions for women, children and those with a disability</p>	<p>People living along project sections of NR2, Crossing Border Facilities; Feeder roads; Consolidation facilities, including residents, farmers, land users, vulnerable groups, private sector and vendors (including those running restaurants, shops, tourism businesses, etc.). Special attention to women, particularly to Phongsaly and Luangnamtha only have just over half the female population literate. Schools, health centers and cultural or religious centers that are on NR2W, or along feeder roads, and may be impacted by construction disturbances or by land acquisition.</p> <p>An estimate of 256,000 people live in districts along NR2W in 2020 An estimate of 19,000 people live in Meuang Ngeun district, where the Cross-border is located.</p>	<p>A. People living along project sections of NR2, - Improved road condition will increase convenience of travel between Districts and Provinces, which will also lead to an increase in tourism - Buying and selling of goods for businesses will also improved - Concerns about construction-related concerns such as dust, noise and traffic, including speeding (post-construction)</p> <p>B. Crossing Border Facilities (BCF) in Lao-Thai Border - Upgraded border crossing facilities will make for the importing and exporting of goods more accessible. - However it could increase the risk for human trafficking, wildlife trade or illicit drugs.</p> <p>C. Crossing Border Facilities (BCF) in Lao-Vietnam border - Staff would like to see improved checkpoint facilities such as track scales and scanning of passports. - Also improved accommodation facilities. - Improved waste management - Improved parking area at checkpoint, for larger vehicles</p> <p>C. Feeder roads; Consolidation facilities, - Improved feeder roads will benefit local villagers who are not directly on NR2W, by encouraging logistics and travel from more remote Villages</p>	<p>Conduct consultation and FGDs at the concept stage to understand their views, expectations and concerns. Stakeholders will be engaged to identify potential project risks/impacts as well as mitigation measures as part of the Pre-ESIA and the ESIA.</p> <p>Will be consulted in village-level consultations to introduce the project as well as to discuss and disclose the draft Environment and Social Management Plan (ESMP) and any other relevant plans including a special focus on gender issues, jobs and the Grievance Redress Mechanism (GRM).</p> <p>Will be closely informed before and during civil works so they know the timeline. May also included in trainings, such as gender and road safety.</p> <p>Women may need to be consulted individually, in particular regarding Gender Based Violence (GBV) risks. A written IEC materials, to make sure can reach women in the best way possible, particularly if they are directly</p>

Group	Characteristics	Interest or Concern	Proposed Strategies
	<p>An estimate of 28,000 people live in Meuang Mai district, where the Cross-border is located.</p> <p>The majority of the population in 5 provinces are rural residents, who would positively benefit from the rural-feeder road improvement. People living along project sections of NR2, Crossing Border Facilities; Feeder roads; Consolidation facilities include residents and vendors (including those running restaurants, shops, tourism businesses, etc.). Special attention to women, including vendors, those living with a disability and children.</p>	<p>- Concerns about construction-related concerns such as dust, noise and traffic, including speeding (post-construction), concerns about Covid transmission, worker's camp and/or labour influx, etc.</p>	<p>impacted by the project (such as land acquisition or other direct impacts).</p> <p>Project billboards.</p>
<p>People or businesses impacted by involuntary land acquisition, whether temporary or permanent, (special provisions made as per RAPs if vulnerable person)</p>	<p>Affected Households (AHs) of the NR2W, BCF, Feeder road, and Consolidation location (to be confirmed during Detailed Design) who will have assets minimally impacted by land acquisition, such as concrete driveways and overhanging roofs</p>	<p>A. People living along project sections of NR2, As above plus information about the extent of land acquisition, compensation rates, alternative options, livelihood restoration, etc. To be further defined during the Pre-ESIA stage when the extent of impacts is known.</p> <p>B. Crossing Border Facilities TBD during the Pre-ESIA stage when the extent of impacts is known.</p>	<p>As above. Would also be closely consulted before the socioeconomic baseline and Census as part of the Resettlement Action Plan (RAP), during the preparation of the RAPs, including defining entitlements and compensation rates. Project Information Booklets to be developed with specific information regarding land acquisition at different stages (detailed measurement, calculation of entitlements, etc.)</p>

Group	Characteristics	Interest or Concern	Proposed Strategies
		C. Feeder roads; Consolidation facilities, TBD during the Pre-ESIA stage when the extent of impacts is known.	
Ethnic Groups (if found with collective attachment to project area)	Khmou, Hmong, Hor, Lue, Phounoy, Tai	A. People living along project sections of NR2, As under points 1 and 2. To be further defined during the Pre-ESIA stage when the extent of impacts is known and screening of ethnic groups take place.	To be determined during the full ESIA stage and detailed design, guided by this SEP and the EGEF, and further refined based on the Social Assessment part of the Ethnic Group's Engagement Plan (EGEP). Based on the guidance in the EGEF it will also need to be assessed whether Free Prior and Informed Consent (FPIC), based on WB ESS7, is required and/or desirable in any of the subprojects.
	Khmou, Lue, Hmong,	B. Crossing Border Facilities, Lao-Thai border As under points 1 and 2. To be further defined during the Pre-ESIA stage when the extent of impacts is known and screening of ethnic groups take place.	
	Akha, Hmong, Khmou, Lue, Phounoy, Tai, Bid	C. Crossing Border Facilities, Lao-Vietnam border As under points 1 and 2. To be further defined during the Pre-ESIA stage when the extent of impacts is known and screening of ethnic groups take place.	
	Khmou, Akha, Ewmien, Hmong, Lue, Phounoy, Tai, Pay, others.	C. Feeder roads; As under points 1 and 2. To be further defined during the Pre-ESIA stage when the extent of impacts is known and screening of ethnic groups take place.	
	Akha, Hmong, Hor, Khmou, Lue, Phounoy, Tai, others.	Consolidation facilities in Oudomxay As under points 1 and 2. To be further defined during the Pre-ESIA stage when the extent of impacts is known and screening of ethnic groups take place.	

Group	Characteristics	Interest or Concern	Proposed Strategies
	Khmou, Hmong, Ewmien, Hor, Leu, Ngoaun, Phouth, Phounoy, Pray, Tai, Thaine, Yang, others.	Consolidation facilities in Luang Prabang, As under points 1 and 2. To be further defined during the Pre-ESIA stage when the extent of impacts is known and screening of ethnic groups take place.	
Farmers, land users, vulnerable groups, private sector and government staff benefiting from training,		<ul style="list-style-type: none"> - Local farmers and other land users will see benefit from increased ability to sell local produce - Concerns about Covid transmission, opportunities to access trainings 	Will be consulted on the project's ESMF and relevant plans including LMP, Codes of Conduct and Grievance Redress.
Contractors in charge of civil works, and their staff	Contractors will be encouraged to hire local people for unskilled labor, in particular interested women (likely 15% target)	<ul style="list-style-type: none"> - Concerns about OHS measures, Covid transmission, job opportunities, discrimination, pay, SEA/SH, etc. To be further defined during the Pre-ESIA stage	Introductory training on staff related to Code of Conduct (gender, violence, children), training on gender, OHS measures. Labor contracts. Posters on aspects Code of Conduct. Information on the COVID19 health and safety protocols
Government authorities responsible for project activities (see Section 3.2.). Special attention to include Village Women's Group	Specific government ministries and departments at the national, provincial, district and village level Government staff benefitting from the capacity building and government staff working at the border posts.	<ul style="list-style-type: none"> - Project outcome - Responsibility for the project, in particular ensuring that the appropriate GOL staff are assigned to the right Project component for their specific role. e.g. Environmental Staff to supervise environmental component of Project - Ensuring understand the project and E&S commitments and responsibilities, as well as the WB's ESF - Capacity building opportunities for implementing agencies including DPWT, PONRE, local Women's group. 	Consultations/meetings before project implementation to inform them of the project. Ongoing communication, meetings, phone calls, emails and field work between project authorities to ensure everyone is updated on timelines, objectives, mitigation measures, responsibilities etc. Project billboards; Website; Whatsapp and emails

Group	Characteristics	Interest or Concern	Proposed Strategies
Interested Stakeholders			
Frequent road users, special provisions as necessary for women and children	People living along project sections of NR2, Crossing Border Facilities; Feeder roads; Consolidation facilities as well as those travelling to markets, schools, health centers, temples. Special attention to women and children.	<ul style="list-style-type: none"> - Concerns about construction-related concerns such as dust, noise and traffic, including speeding (post-construction) To be further defined during the Pre-ESIA stage 	Provision of updates to keep updated on project timelines and potential impacts and mitigation measures including GRM. Disclosure of the ESMP in accessible locations, such as village offices and the MPWT website. Project billboards. Conduct road safety trainings in particularly targeted at school children and young men (since statistically they form the largest group of road accident victims).
Government authorities needing to be consulted, or those that may be interested (see Section 3.3).	Specific government ministries and departments at the national, provincial, district and village level that may need to be consulted due to their area of responsibility (for instance health centers or schools).	<ul style="list-style-type: none"> - Project outcomes, responsibility, training opportunities, project timeline To be further defined during the Pre-ESIA stage 	<p>Continuous communication and consultation meetings to ensure relevant government groups are updated on timelines, objectives, mitigation measures, responsibilities etc. Disclosure of ESMP and other project documents. Local consultations disclosing RAP and ESMP.</p> <p>Project billboards; Website; Whatsapp and emails</p>
NGOs interested in environment	Wildlife and environment NGOs that have projects in the proposed project area (see Section 3.3)	<p>Wildlife Conservation Society (WCS)</p> <ul style="list-style-type: none"> - GOL capacity including capacity building opportunities <p>International Union for Conservation of Nature (IUCN) Laos</p> <ul style="list-style-type: none"> - Currently working on wetlands/peatlands across Laos - Main projects are Wetlands in southern Laos - Plan to map all wetlands in Laos 	Meetings and continuous communications and meetings, including during Pre-ESIA and ESIA, Disclosure of project information. Local consultations. Project billboards.

Group	Characteristics	Interest or Concern	Proposed Strategies
		<ul style="list-style-type: none"> - IUCN plan to do further survey in the Northern Provinces <p>To be further defined during the Pre-ESIA stage</p>	
NGOs interested in gender	NGOs interested in ensuring benefits to women as well as dealing with issues relating to Gender Based Violence (GBV); Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) (see Section 3.3)	<p>IUCN</p> <ul style="list-style-type: none"> - IUCN's main role is to develop guidelines and management tools - Community engagement is important, especially with local women - IUCN had a project called Mainstreaming Gender in the National Biodiversity Strategies and Action Plan Implementation and Monitoring. In which aimed to establish a gender responsive National Biodiversity Strategy and Action Plan <p>To be further defined during the Pre-ESIA stage</p>	Meetings and continuous communications and meetings, including during Pre-ESIA and ESIA, on Gender Action Plan (GAP) and relevant parts of the ESMP or other documents. Disclosure of project information. Local consultations. Posters on gender issues.
NGOs working on ethnic group issues	If ethnic groups are identified, NGOs interested in ensuring benefits to ethnic groups as well as protection of these groups, in particular issues relating to land and culture of ethnic groups (see Section 3.3)	To be further defined during the Pre-ESIA stage	Consult as part of Pre-ESIA and ESIA and any other Social Assessment. Disclosure of project information. Further consultations if ethnic groups are identified during project implementation.
Road Safety Network	Ensuring traffic standards are followed and the road safety is a priority and road accidents and deaths are reduced	<p>Road safety aspects during construction and road speeding risks and general safety post-construction</p> <p>To be further defined during the Pre-ESIA stage</p>	Meetings and ongoing consultation on road safety measures. Disclosure of project information.

Group	Characteristics	Interest or Concern	Proposed Strategies
Supply Chain	Suppliers of materials for civil works such as cement, food, safety gear, etc. Contractors in charge of civil works, and their staff	Materials needed, requirements for underage labour/forced labour checks (i.e. compliance with LMP/project measures) To be further defined during the Pre-ESIA stage	Suppliers to be informed via phone calls, meetings, emails that goods acquired for construction will need to come from sources with good labor standards and no child or indentured labor.

5 Stakeholder Engagement Plan

5.1 Purpose and timing of stakeholder engagement plan

24. The objectives of the Stakeholder Engagement Plan are to:

- Offer opportunities for stakeholders to raise their concerns and submit their opinions, to incorporate this into the project when possible, and to provide this feedback to stakeholders.
- Create avenues for complaints handling and grievance management.
- Create opportunities for information sharing and disclosure.
- Foster strong project community relationships.
- Ensure meaningful consultation and the consideration of stakeholder's expectations and concerns into the implementation arrangements for the programme, including feedback on environmental and social mitigation measures and their implementation.

25. In order to achieve this, the Project shall:

- Provide meaningful information in a format and language that is readily understandable.
- Provide information in advance of consultation activities when possible.
- Disseminate information in a manner and location easy for stakeholders to access it.
- Establish a two-way dialogue that gives the Project and stakeholders the opportunity to exchange views and information, and have issues heard and addressed.
- Ensure inclusiveness in representation of views, including those of women, the elderly, people living with a disability, ethnic peoples, and other vulnerable people, as necessary.
- Ensure any obstacles to participation that are identified are removed so that views of different stakeholders can be obtained.
- Ensure there are clear mechanisms for responding to people's concerns, suggestions, and/or grievances.
- Incorporate feedback of stakeholders into project design, and report back to stakeholders.
- Monitor stakeholder engagement activities and include project stakeholders in monitoring to the extent possible.

- Incorporate stakeholder engagement as part of the Project management responsibilities of the MPWT, and ensure staff, especially the Environment and Social Officers (ESOs) are equipped with specific responsibilities and budget.

26. The Project will engage stakeholders at various stages: during the preliminary impact assessment stage, full ESIA stage, initial design of road improvement, detailed design, prior to civil works commencing and during, and post-civil works. Engagement will vary in each stage of the project life and this SEP will be dynamic and flexible to these changes. This SEP should be read together with other project documents (i.e., ESMF, RPF, EGEF and ESCP).

27. There will be several ways to engage with stakeholders and the Project shall choose the most appropriate method depending on the type of stakeholder and the goal of engagement.

28. This SEP is a living document and shall be updated as needed. Once consultations have taken place, minutes of meetings and relevant comments from project stakeholders shall be incorporated.

5.2 Disclosure of Information

29. Disclosure of information refers to making information accessible and in a manner that is appropriate and understandable to interested and affected stakeholders.

30. Project information will be disclosed in both English and Lao language or even local dialects of ethnic groups which can be easily understandable format either by audio and photo or drawing /print (e.g. booklet or flyers) formats.

31. The guiding principles when disclosing information are for it to be:

1. Transparent
2. Accessible
3. Presented in a straightforward manner
4. Disclosed as early as feasible
5. Used to support consultation activities, and
6. Provided with meaningful and useful information.

32. Disclosure of information is an on-going process of the Project. Type of information to be disclosed will vary between project stages with two key stages before World Bank project appraisal, and during project implementation.

a) Before World Bank Project Appraisal

- i. Purpose, nature and scale of the Project and its components, including potential environmental and social risks and impacts as ways to enhance project benefits. Project documents to be disclosed will include:

- (a) Environment and Social Management Framework (ESMF) – including the Pre-ESIA and annexes such as the Labour Management Procedures (LMP)
- (b) Resettlement Planning Framework (RPF)
- (c) Ethnic Groups Engagement Framework (EGEF)
- (d) Environment and Social Commitment Plan (ESCP)
- (e) Stakeholder Engagement Plan (SEP)

b) During project Implementation.

- i. Detailed impacts, mitigation measures and project schedule. Project documents will likely include:
 - a) Environment and Social Impact Assessment (ESIA)
 - b) Environment and Social Management Plans (ESMPs)
 - c) Resettlement Action Plans (RAPs)
 - d) Ethnic Groups Engagement Plan (EGEP)
 - e) Updates to the Stakeholder Engagement Plan (SEP)
 - f) Implementation Status Report
- ii. Job opportunities, if any.
- iii. Training on gender, labour rights and health, as appropriate; and
- iv. Monitoring reports.

33. Methods used may vary between stakeholders. Main methods of disclosure are presented in Table 2.

Table 2: Disclosure of Documents

Project Stage	List of Documents	Method of Disclosure	Timetable/ Location	Target Stakeholders	Responsibilities
Prior to World Bank Appraisal	Draft SEP, ESMF (with LMP), EGEF, ESCP, RPF, including executive summary of each document in Lao language	Disclosed at PTRI/MPWT's Website. Hard copy and electronic of the draft documents distributed to target stakeholders.	15 November 2021	Government Staff responsible and interested stakeholders	MPWT, EDPD/ PTRI,
	Draft SEP, ESMF (with LMP), EGEF, ESCP, RPF, including translated executive summaries	National Consultation (via virtual consultation)	29 November 2021	All interested stakeholders	MPWT, EDPD/ PTRI,
	Draft SEP, ESMF (with LMP), EGEF, ESCP, RPF, including translated executive summaries	Local consultations for stakeholders at provincial, district, and village levels. (via virtual consultation)	30 November 2021 – 03 December 2021	Affected stakeholders	EDPD/ Provincial and District offices
Project Implementation	Full Feasibility Study/ ESIA	Local consultations. Consultations with Affected People (APs) – those affected by the project and those affected by land acquisition One-on-one meetings with APs	Starting in June 2022	People impacted by the Project.	CMUs, PTRI and FS/ ESIA Consultant

Project Stage	List of Documents	Method of Disclosure	Timetable/ Location	Target Stakeholders	Responsibilities
	<p>Information about the project and E&S risks and mitigation measures.</p> <p>Detailed RAPs, including information on eligibility, entitlement matrix, timelines, GRM.</p>	<p>Local consultations.</p> <p>Consultations with Project Affected People (PAPs) – those affected by the project and those affected by land acquisition</p> <p>One-on-one meetings with PAPs</p> <p>Project website (include also Final Version of SEP, ESMF, EGEF, ESCP and RPF, including feedback from consultations) and site-specific plans.</p>	<p>Likely August 2022 onwards (post World Bank appraisal)</p>	<p>People impacted by the Project.</p>	<p>EDPD/PTR, CMUs, and Consulting firm</p>
	<p>ES screening forms, expected impacts, and mitigation measures those impacting people's health and safety, jobs, civil works (office renovation), staff code of conduct.</p>	<p>Local consultations</p> <p>Trainings to Contractors</p> <p>Training to workers</p> <p>Public Boards</p> <p>Radio</p> <p>Newspaper</p> <p>Posters</p> <p>Project website</p>		<p>Affected and interested stakeholders</p>	<p>EDPD/PTR, CMUs, and Consulting firm</p>

Project Stage	List of Documents	Method of Disclosure	Timetable/ Location	Target Stakeholders	Responsibilities
	Key elements in Ethnic Group (e.g., Social Assessment, procedures for FPIC if applicable, EGEP, GRM, etc.) if applicable.	Local consultations, including consultations separated by gender and/or age group. Pictorial posters and/or in local language Village announcement Trainings (on project process, GRM, gender and/or other issues as relevant) Others as may be desirable by ethnic groups	Likely July 2022 onwards.	Ethnic Peoples impacted by the project, with special consideration for women and/or the vulnerable. Also include NGOs working on ethnic people and vulnerable groups active in the area.	CMUs and EDPD/ PTRI
	Monitoring reports	Local consultations and project website	Likely July 2022 onwards.	Affected and interested stakeholders and World Bank	CMUs; and EDPD/ PTRI

5.3 Proposed strategy for consultation and disclosure

34. The project supports a participatory and consultative approach involving meaningful engagement with different populations (ethnic peoples and vulnerable groups – women and female/male youth and children, men, the elderly and disabled, landless, and poor, etc.), CSOs (NPAs, CBOs) and other relevant stakeholders. During the Pre-ESIA, consultations and engagement activities were conducted through field visits along the road side of NR2 West wherein the villagers expressed their support to the improvement or rehabilitation of roads. The ESF instruments (ESMF, RPF, EGEF, ESCP and this SEP) were first disclosed at the MPWT website on 15 November 2021 to ensure effective communication and coordination with all stakeholders and different populations at national and local levels.

35. Consultation is a two-way process of dialogue between the project and its stakeholders. The project consultations will provide opportunities to share information about the project and get feedback, including on issues such as working conditions for contractors, engagement of vulnerable groups, ethnic groups, women, and ways to mitigate potential project risks and impacts.

36. Some methods that should be helpful in guiding consultations with local-level stakeholders, particularly affected people, include:

- (i) Face-to-face consultations should be inclusive of all stakeholder groups for different sections of the roads, such as women, elderly, people living with a disability and other vulnerable persons, including breaking it down by gender and age when appropriate.
- (ii) One-on-one household interviews and focus group discussions will be conducted in a locally/culturally sensitive manner and without external interference or pressure so that interviewees can speak freely.
- (iii) Notices of meetings/consultations shall be sufficiently notified in advance at prominent locations and information shall be disclosed ahead of time when applicable.
- (iv) Comments and suggestions received from stakeholders shall be collected and incorporated into this SEP, and other project documents, especially ESMF and EGEF, and in ongoing project implementation as much as possible, and stakeholders shall be made aware how this was done in follow-up meetings/consultations.

37. During project preparation, consultations were organized in late November/early December 2021, in Xayaboury province to discuss the border crossing facility (BCF) at the Lao-Thai border and NR2W which passes through the province. Consultations were also conducted in Oudomxay province to discuss NRW2 with potentially with affected villages. A separate consultation was also organized for the BFC at the Lao-Vietnam border in Phongsaly province. Participants at these consultations included village representatives, government authorities and

representatives of ethnic groups, Lao Women's Union, youth groups and individual villagers. Moreover, preliminary consultations had been conducted during September to gather data on the villages and potential project impacts to inform the preliminary ESIA that was conducted as part of the ESMF. Please see Annex 2 for list of questions raised.

5.3.1 At central/national level

38. Due to COVID19 restrictions, a virtual consultation was organized and conducted by EDPD/PTRI on 29 November 2021 with 65 participants from 6 government agencies; 5 International NGOs; 2 CSOs; 2 funding agencies and development partners; 1 private sector from which 12 are females from 28 total number of registered participants. The consultation introduced the project and all its components, and informed stakeholders of the preparation of ESF documents, namely the ESMF (with the Pre-ESIA), RPF, EGEF, ESCP and this SEP. The main aspects of these documents were discussed, in particular the identified potential social and environmental risks and impacts from the project, potential mitigation measures, and the procedures for preparing specific plans (ESMPs, RAPs), including the carrying out of the full ESIA in 2022. Stakeholders were also informed of the proposed project Grievance Redress Mechanism outlined in this SEP. Highlight of questions raised during the consultations on November 29 are included in Annex 2.

39. In the future, national-level consultations may take the form of face-to-face meetings with issuance of official letters (submitted at least two weeks ahead of the consultations) to inform affected and interested stakeholders of the purpose of the consultation. Alternatively, online consultation using WebEx may be conducted, as indicated above.

5.3.2 At provincial and district level

40. Initial consultations were conducted in September 2021 to collect data on the villages, share information about the project, and understand potential project impacts to inform the preliminary ESIA, part of the ESMF. Virtual Consultations at the province, district and village level were conducted during project preparation from 30 November 2021 to 03 December 2021 with 95 participants of which 16 are females from the Provinces; 62 participants of which 9 are females from the Districts; and 16 representatives of which 4 are females and 4 are from the ethnic groups of Laoloom; Khmu and Hmong from the villages. Representatives line agencies from provinces and districts; and mass organizations, as well as other interested stakeholders (e.g., civil society, academia, or private sector), were able to participate and main comments and questions raised are highlighted in Annex 2. Executive Summaries of the ESF documents had been shared. Due to ongoing COVID-19 restrictions, consultations had to be held virtually. Efforts were made to ensure as many stakeholders as possible were able to connect, including by making phone calls and encouraging stakeholders to connect on their phones or via their nearest district office. Similar to the national-level consultations held on November 29, these consultations focused on introducing the project, the ESF documents prepared, potential risks and impacts of the project

that have been identified, etc. The aim of the consultations was both to inform stakeholders of the project, its preparation status and forthcoming additional studies in 2022 (ESIA, full feasibility), but also to gather comments and feedbacks from participants. Sufficient time was given for people to think about what had been presented and then share thoughts and questions. In addition, a Whatsapp number was provided for people to submit their comments, whether the day of the consultations or the following couple of days, in order to give people time to think about the project but also in order to give those stakeholders that could not attend the opportunity to ask questions or provide feedback.

41. There was robust discussion during the consultations and the feedback sessions, with numerous stakeholders highlighting the project benefits but also to ensure environmental impacts were properly mitigated, that resettlement was done in line with WB ESF and Lao legislation, that there were appropriate compensation payments, as well as interest in the timing of future studies such as the ESIA. Other important aspects highlighted were job opportunities, Covid-19 restrictions and importance of traffic safety. Of particular interest, and useful for both the Pre-ESIA and future full ESIA, was information about human trafficking experience in both Phongsaly and Oudomxay province, and the potential benefits from the project in curbing this by having stronger customs and immigration measures and procedures in place at border crossing facilities. This aspect has been particularly highlighted in the ESMF as an area where more focus, attention and information gathering will be needed during the full ESIA.

42. The project will continue to consult with stakeholders during the preparation of future studies (ESIA, full feasibility, detailed design), and to do this face-to-face as much as possible. Moreover, as the project progresses consultations may be done with identified affected households directly on specific topics such as land acquisition impacts, construction timelines, trainings on health and safety and Gender Based Violence, job opportunities, etc.

5.4 Consultations and Covid 19 Safety Precautions

43. The current context of Covid 19 outbreak affects the Bank requirements for public consultation and stakeholder engagement. In the case of projects under preparation and stakeholder engagement is about to commence or is ongoing, such as in the project E&S planning process, stakeholder consultation and engagement activities should not be deferred, but rather designed to be fit for purpose to ensure effective and meaningful consultations to meet project and stakeholder needs following the Bank's Technical Note on Public Consultations and Stakeholder Engagement in WB-supported operations when there are constraints on conducting public meetings dated March 20, 2020. The note advises to avoid public gatherings (taking into account national restrictions), including public hearings, workshops, and community meetings, and minimize direct interaction between project agencies and beneficiaries / affected people, make all reasonable efforts to conduct meetings through online channels, including WebEx, zoom and skype meetings and rely more

on social media and online channels. In situations where online interaction is challenging, information can be disseminated through digital platform (see **Error! Reference source not found.**).

44. The project will also commit to Lao governments' epidemiological guidelines and restrictions associated with COVID-19. Caution needs to be given to COVID-19 developments in Lao PDR and requirements by the GoL, as well as updated guidance issued by WHO. All measures implemented to address COVID-19 related risks need to be in accordance with the local applicable laws and policies, especially those related to media and communication. All required government health and safety measures shall be strictly complied such as limit the number of participants and attendees during meetings and interviews with stakeholders to maintain social distancing and encourage participants to wash their hands and check for body temperatures. Consultation meetings shall be held on a well ventilated area (open space) and provide hand sanitizer gel or alcohol and face masks to distribute to all participants prior to the meeting. If necessary, also required to have their individual Personal Protective Equipment (PPE) during meetings and field visits.

45. If face-to-face consultations are not possible due to Covid restrictions, online consultation using WebEx, Zoom or Skype or other digital platforms will be conducted. Relevant project documents will be made accessible on the MPWT website and relevant information will be directly sent to the stakeholders that the project intends to receive feedback from.

5.5 Proposed strategy to incorporate the view of vulnerable groups

46. Due to the travel restrictions and required social distancing due to COVID19, the following are health and safety protocol measures to be followed during field visits, consultation meetings and Focused-Group Discussion (FGDs) with stakeholders, particularly with the vulnerable groups:

- Consultation meetings and FGDs can utilize other means of communication applications for interviews, FGDs and disclosures such as Zoom; Webex; Whatsapp; Facebook; Emails, etc.;
- Limit the number of participants and attendees during meetings and interviews with stakeholders and vulnerable groups to maintain social distancing (1 meter) and encourage participants to wash their hands and check for body temperatures; and
- Conduct consultation meetings on a well ventilated area (open space) and provide hand sanitizer gel or alcohol and face masks to distribute to all participants prior to the meeting and have the option to wear the required individual Personal Protective Equipment (PPE) during meetings and field visits.

47. The views of vulnerable/disadvantaged groups (Please see Section 4.3 for disadvantaged/vulnerable individuals/groups) will be sought during the consultation process through the following measures to remove obstacles to participation:

- Sign language, large print.
- Choosing accessible venues that are well ventilated area (open space)
- Providing transportation for people in remote areas to the nearest meeting (ensure social distancing during travels using transportation or vehicles).
- Having small, focused meetings where vulnerable stakeholders are more comfortable asking questions or raising concerns.
- Good facilitation to ensure meaningful participation in the consultation
- Providing special assistance in grievances of the vulnerable groups.

48. Using appropriate translators or ethnic language speakers, with village groups split by gender, to discuss the potential impacts of project activities, both positive and negative. During consultation involving communities' representatives, village level representative of the LWU will be invited from each village and gender disaggregated FGD to ensure women voices are heard and recorded.

49. The SEP should be coordinated with the EGEF. If Ethnic Groups are found in the project areas, it will be assessed if circumstances requiring Free, Prior and Informed Consent (FPIC) apply and/or are desirable. Determination on whether FPIC applies should be agreed with the World Bank, considering the requirements of the Environmental and Social Framework (ESF), and as provided for in the EGEF for the project. Regardless of whether FPIC is required, special attention should be given to the need for consultation with ethnic peoples with EGEF. The government mass organizations including LFND and LWU with local presence nationwide have mandate to represent and protect the ethnic groups and ethnic women's rights and interest. In ethnic villages, tribal leaders are usually elected as the head of village, with LFND representing them and chairing the village mediation unit. In multi-ethnic villages, leaders or representatives of each ethnic groups are usually included in the community organization. Both LFND and LWU will be part of past and further consultations. Ethnic groups in Laos observe one of two systems, or structures, of power: one is clan-based and, the other, on a council of elders. They need to be consulted throughout the project life cycle. Power or authority at the community level is shared both by the customary holder of a position of power and, also, by the mass organisations presided over by the village chief. These ethnic group leaders will be consulted during the project cycle.

50. The project will ensure that women will be involved and actively participate from the planning and implementation stages of the project. For example, there may be specific women-only FGDs led by women moderators.

51. As per the ESS7, FPIC is required in circumstances in which the project will:

- (a) have adverse impacts on land and natural resources subject to traditional ownership or under customary use or occupation (For detailed description of the potential impacts, please see EGEF, a separate document on Ethnic Group Engagement Framework, for more details).
- (b) cause relocation of Ethnic Peoples from land and natural resources subject to traditional ownership, or under customary use or occupation; or
- (c) have significant impacts on Ethnic Peoples' cultural heritage that is material to the identity and/or cultural, ceremonial, or spiritual aspects of the affected Ethnic Peoples (Para 24-26, ESS7).

5.6 Timelines

A summary of timelines for key activities is provided in Table 3.

Table 3 Indicative Timeline

Activity	Project Phase	Timeline	Responsibility	Location
Field visits, initial consultations, local-level meetings to introduce project, information gathering for Pre-ESIA and draft ESF documents	Conceptual Design, Prior to World Bank Appraisal	September – October 2021	MPWT, consultants.	Project provinces
Disclosure of the ESF Documents, including translated Lao version of the Executive Summary of ESMF.	Prior to World Bank Appraisal	15 November 2021	MPWT, consultants.	Website of the MPWT
National/central consultations on Draft ESF documents	Prior to World Bank Appraisal	29 November 2021	MPWT, consultants.	Vientiane
Provincial and local consultations on Draft ESF Documents.	Prior to World Bank Appraisal	30 November – 3 December 2021	MPWT, consultants.	Locally and/or virtually depending on Covid restrictions
Specific extent of E&S impacts, based on location of road segments/sub-projects to be financed	Full ESIA	TBD	MPWT, Consultants	Project provinces

Activity	Project Phase	Timeline	Responsibility	Location
Preparation of ESMPs	Implementation Detailed Design	TBD	ESIA Consultant, Contractor (for design), MPWT Central and, Provincial	Project provinces
Detailed measurement of land acquisition impacts. Preparation of Resettlement Plans and consultations with affected people, etc.	Implementation: Detailed Design	TBD	ESIA Consultant, Contractor (for design), MPWT, Provincial, District and Village Resettlement Committee (RCs), CMUs	Project Provinces
If applicable, preparation of Ethnic Group Engagement Plan(s)	If EGs are found, in line with WB ESS7.	TBD	ESIA Consultant, CMUs with support from PTRI and DDIS (additional Ethnic Group consultant may also be needed)	Project Provinces
Implementation of Detailed RAP ahead of civil works (i.e., delivery of entitlements), hiring of local workers, trainings on gender, trainings for contractors and staff, road safety, etc.	Implementation: Civil Works	TBD	RCs (for land acquisition), CMUs, Contractor, MPWT.	Project Provinces
Disclosure of ESMPs, RAPs and any other relevant plans	Implementation: Detailed Design	TBD	MPWT and consultants (and RCs if land acquisition)	Project Provinces, MPWT Websites, WB Websites
Works commence, implementation of Detailed RAP ahead of civil works (i.e., delivery of entitlements),	Ahead of Civil Works	TBD	Contractor, CMUs, Design and Supervision Consultants, RCs (if land acquisition)	Project Provinces
Hiring of local workers, trainings on gender, trainings for	Ahead of Civil Works	TBD	Contractor, CMUs, Design and Supervision	Project Provinces

Activity	Project Phase	Timeline	Responsibility	Location
contractors and staff, etc.			Consultants, RCs (if land acquisition)	

5.7 Review of Comments

52. All draft ESF documents (ESCP, SEP, ESMF, RPF, EGEF) have been shared with project stakeholders at the central, provincial and district level via MPWT's Website, WhatsApp, and email where accessible and a brief power point presentation to be distributed in advance prior to each consultation to ensure that all participants had sufficient time to acknowledge the content and formulate comments, feedback, and suggestions as per the ESS10 requirement. Contact details at EDPD/PTRI to receive feedback and suggestions were provided. An Executive Summary of all the ESF documents in Lao language has been prepared and distributed to the provincial and district offices. Similar approaches will be in place during project implementation. As needed, in the future additional measures will be taken to ensure relevant documents are available in a format accessible to ethnic minorities as well as illiterate persons.

53. During each consultation, notes with attendance lists shall be taken ensuring that age, gender, ethnicity and social position and their feedback and concerns are recorded.

54. During consultations for project preparation in Nov/Dec 2021, feedback and questions received from the stakeholders during consultations as well as via e-mail and WhatsApp was recorded by the PMU and CMUs and EDPD/PTRI and incorporated into the content of the ESF Documents where relevant and noted in Annex 2 of the SEP. A similar approach shall be taken during future consultations as the project moves from preparation to implementation phase.

55. The ESF Documents are living documents subject to further improvement and re-disclosure to reflect outcomes from continued consultations, feedback and lessons learned from the implementation of these ESF instruments during the project lifetime.

5.8 Reporting back to stakeholder groups

56. The SEP will be periodically revised and updated following future consultations or as necessary during project implementation to ensure that the information presented herein is consistent and is the most recent, and that the identified methods of engagement remain appropriate and effective in relation to the project context and specific phases of the development. Any major changes to the project related activities and to its schedule will be duly reflected in the SEP. The PMU-MPWT shall notify the WB on the updated SEP (if changes made in the plan are minor) and will send it to the WB for prior review and clearance (if changes are significant) before re-disclosure.

57. Monthly summaries and internal reports on public grievances, enquiries, and related incidents, together with the status of implementation of associated corrective/preventative actions will be collated by responsible staff and referred to the senior management of the project. The annual summaries which are public documents will provide a mechanism for assessing both the number and the nature of complaints and requests for information, along with the Project's ability to address those in a timely and effective manner. Stakeholders shall be reminded periodically of the availability of the grievance mechanism.

58. Information on public engagement activities undertaken by the Project during the year may be conveyed to the stakeholders in two ways:

1. Publication of a standalone annual report on project's interaction with the stakeholders.
2. Several Key Performance Indicators (KPIs) will also be monitored by the project on a regular basis, including the following parameters:
 - a) number of public hearings, consultation meetings and other public discussions/forums conducted annually.
 - b) frequency of public engagement activities.
 - c) number of public grievances received monthly and number of those resolved within the prescribed timeline; and
 - d) number of press materials published/broadcasted in the local, regional, and national media.

6 Resources and Responsibilities

6.1 Resources

59. EDPD/PTRI will be in charge of organizing stakeholder engagement activities and provide the required technical support and assistance to undertake stakeholder engagement. A provisional budget of US\$80,700 is estimated for implementation of SEP and stakeholders' engagement activities excluding the cost of consultations which are embedded in various project activities (see Annex 3).

6.2 Management functions and responsibilities

60. A Project Steering Committee (PSC) shall be established to provide guidance for the NLRECC project. The PSC will be chaired by MPWT, with Committee Members of the Ministry of Industrial and Commerce (MOIC), Ministry of Agriculture and Forestry (MAF), Ministry of Foreign Affairs (MOF), Ministry of Public Security (MoPS), and Department of Public Works and Transport (DPWTs). The PSC is assisted by its Project Management Unit (PMU) of the MPWT. It shall be responsible for facilitating inter-agency coordination and cooperation in executing Project activities.

61. The PMU has a project team in charge, with a Project Director in the lead, a

Project Manager; CMUs of other ministries with technical support from EDPD/PTRI.

62. Implementation of the Stakeholder Engagement Plan will be the responsibility of MPWT Project Director (PD), Project Manager (PM); Component Managers from other ministries and EDPD/PTRI. They will guide the process of stakeholder engagement throughout the preparation and implementation of the NLRECC. The PMU of the MPWT; Component Management Units (CMUs) of other ministries with the technical support from Environmental Research and Disaster Prevention Division of the Public Works and Transport Research Institute (EDPD/PTRI). shall have office with staff and budget, and it will be the responsibility of this office to oversee the delivery of this SEP. Certain parts of the SEP, as detailed above, will also be the responsibility of contractors or consultants, as necessary and the EDPD/PTRI will oversee this work as appropriate. CMUs report to their respective Director General in the province.

63. The PMU with the technical support and assistance from EDPD/PTRI, under the guidance of the Project Director (PD) and Project Manager (PM), will be responsible for:

- Leading, or supervising, consultations, as per the SEP.
- Leading, or supervising, the disclosure of information, as per the SEP.
- Reporting on grievance resolution, as per the SEP.
- Review monthly monitoring reports provided by contractors and/or consultants; and
- Regularly reporting to the Project Director and Project Manager.

64. Stakeholder engagement should be periodically evaluated by the Project in line with overall monitoring and other relevant project documents. The Project will strive to include project stakeholders in monitoring activities.

65. The EDPD/PTRI are supported by consultants during the project preparation phase, and trainings to the line government agencies involved and CMUs on the WB ESF and stakeholder engagement shall be conducted. Additional capacity building of the MPWT and CMUs will be needed during project implementation and should be done as described by Table 4.

Table 4 Staff and Responsibilities for SEP Activities

Staff		Responsibility
MPWT	Project Director	<ul style="list-style-type: none"> • Reviews and approves monthly reports on grievance redress and stakeholder engagement; and • Keeps World Bank informed on the implementation of the SEP.

Staff		Responsibility
	Project Manager of PMU	<ul style="list-style-type: none"> Oversees EDPD/PTRI and CMUs and the process of grievance redress and stakeholder engagement; and Submits monthly reports to the Project Director.
	EDPD/PTRI (with the support of Environment and Social Consultants)	<ul style="list-style-type: none"> Supervise; monitor and report the SEP implementation including other safeguard instruments Provide technical support on capacity building for staff of government agencies involved in the implementation of SEP to address environmental and social safeguards issues Assesses the progress, accessibility, and efficiency of the Grievance Redress Mechanism (GRM) and the overall project GRM database is maintained and reported on at this level. Conducts trainings on gender-based violence, HIV/AIDS, road safety and others as described in this SEP and/or as required by the PSC. Assists in the identification of Ethnic Groups, working with the EDPD/PTRI. May be tasked with preparing the Social Assessment and Ethnic Group Engagement Plan (EGEP) if relevant, or this may be the task of a separate consultant and/or the ESIA. Conduct biannual and annual Environmental and Social safeguard (ESS) compliance monitoring and reporting. The biannual and annual monitoring reports and key findings from the implementation of SEP activities and be shared with DOR-MPWT PMU, and WB.
	CMUs in other ministries	<ul style="list-style-type: none"> Implements stakeholder engagement activities as described in the SEP, including consultations, disclosure, trainings on gender-based violence, road safety, etc. Coordinates with village authorities and contractor on the grievance redress mechanism, ensuring that grievances are recorded and promptly resolved. Oversees stakeholder engagement activities being conducted by the contractor and/or consultants. Coordinates with other agencies; and Leads the process of identification of Ethnic Groups.
Contractor	Chief Engineer	<ul style="list-style-type: none"> Carries out consultations with stakeholders on project timeline, mitigation of civil work activities

Staff		Responsibility
		<p>(such as dust, traffic), informs stakeholders about jobs.</p> <ul style="list-style-type: none"> • Ensures careful consideration of women and vulnerable groups, including them in consultations and that they do not miss out on job opportunities. • Conducts training on Code of Conduct for workers, including on appropriate behavior and relations with community and gender-based violence (GBV) , Sexual Exploitation and Abuse/Sexual Harassment and Violence Against Children (VAC). • Conducts trainings and awareness activities on road safety to be implemented together with the traffic police and target audience.

Contact details of Implementing Agency:

Project Management Unit of the NLRECC Project

Department of Planning and Cooperation (DPC)

Ministry of Public Works and Transport (MPWT)

Name: Mr Sengdarith Kattignasack, Director General of DPC

Cell Phone: +85620 99999995

Address: LanXang Avenue, Phonxay Village, Saysettha District, Vientiane Capital, Lao PDR.

Tel: +85621 412265, +85621 412266.

E-mail: ksengdarith@yahoo.com

7 Grievance Redress Mechanism

7.1 Grievances Procedures

66. The overall project Grievance Redress Mechanism (GRM) is set out in the project's SEP. This GRM is also applicable to Gender Based Violence (GBV), Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) and Violence Against Women (VAC) related grievances, although complainants can also choose to submit their complaints directly to GBV Service Providers. The key principles of the grievance mechanism are to ensure that:

- The basic rights and interests of affected people, including ethnic groups, are protected.
- The concerns of affected people, including ethnic groups, arising from the project implementation process are adequately addressed.

- Entitlements or livelihood support for affected people, including ethnic groups, if required, are provided on time and accordance with the above stated government and World Bank's ESF, and
- Affected people, including ethnic groups, are aware of their rights to access grievance procedures free of charge for the above purposes.

67. The MPWT will be responsible for receiving and resolving in a fair, objective, and constructive manner, all concerns or complaints raised by project affected persons (PAPs). Their broad responsibilities of the grievance management include:

- Developing and publicizing the grievance management procedures.
- Receiving, reviewing, investigating, and keeping track of grievances.
- Adjudicating grievances.
- Monitoring and evaluating fulfilment of agreements achieved through the grievance mechanism.

68. For the interest of all parties concerned, the grievance mechanism is designed with the objective of solving disputes as soon as possible. A recommended timeframe for the resolution of a complaint should be sought within two weeks.

69. In the NLRECC it is envisaged there could be four types of grievances:

- Grievances relating to land acquisition, that follow the Resettlement Action Plan's GRM (detailed in the project's RPF/Draft RAPs).
- Grievances related to ethnic groups
- Grievances related to project implementation (including relating to environmental and social impacts, health, worker's camp, road safety, pollution and waste, etc.). Some of these may be specific to ethnic groups.
- Job-related disputes (detailed in the project's LMP).

70. Based on the SEP, wherever possible, the project team shall seek to resolve complaints as soon as possible, and thus avoid escalation of issues. However, where a complaint cannot be readily resolved, then it must be escalated. In order to effectively and quickly resolve grievances of affected people, according to the Law on Grievance Redress or the revised Law on Handling Petitions 012/NA approved by the National Assembly on December 5, 2014 and the President in 2015 and also the guideline on consultation with ethnic groups was launched by the Lao Front for National Development (LFND formerly known as LFNC), in 2013, in line with the National Guideline on Public Involvement, 2012, to ensure an effective and efficient grievance, a mechanism for the project is proposed as follows:

Stage 1: The first level of complaint resolution, following traditional methods in Laos, should be the Village through its Village Mediation Unit (VMU) and/or Sub-district (*kum*) level who may be able to resolve issues on the spot. The

VMU at the village level would comprise of representatives of ethnic group community leaders, and head of mediation unit or village elder persons.

Complaints can be submitted in verbal or written forms. It is expected that some complainants such as ethnic groups or vulnerable individuals/households might not be able to submit complaints in writing. If this is the case, a person from the village authority will support the write-up for these people. Complainants may also retain the right to bypass the VMU procedure and as such can direct their grievance directly to DPWT, as provided by law in Lao PDR.

The VMU shall make the arbitrated decision within 10 days. The Village/Sub-district level, specifically the Chief of Mediation Unit, Village Chief and/or *Kum* Chief, should record the grievance and how it was resolved. There are no fees or charges levied for the lodgment and processing of grievances at this level.

In cases where grievance is related to a labour dispute, the grievance may be first submitted to the contractor and/or human resource staff of the contractor directly as detailed in the project's Labor Management Procedures (LMP).

Stage 2: In cases where grievances cannot be resolved on the spot, in the second stage, people will be able to file grievances directly with Component Management Units of the responsible ministries. People will have been informed of the CMUs contact information during consultations. The CMUs will be able to record the grievance and offer a solution within 15 days, consulting with the Project Management Unit (PMU) at the MPWT, as needed. This may include a visit to the project site by the PMU if necessary. There are no fees or charges levied for the lodgment and processing of grievances at this level. All online submitted grievances (WhatsApp, Facebook, email etc) are likely to enter the GRM at this level.

Stage 3: in cases where grievance still cannot be resolved, or not resolved to the satisfaction of the any complainant, he/she shall have the right to submit a complaint to the Project Manager and Director of the PMU under the MPWT as desired by the complainant. The administrative arbitration organization shall make the arbitrated decision within 20 days. Like the two previous stages, there are no fees or charges levied for the lodgment and processing of grievances at this level.

Stage 4: if the complainants are still unsatisfied with the arbitrated decision made by the administrative arbitration organization at the Provincial level, after receiving the arbitrated decision, they can file a lawsuit in a civil court according to relevant laws and regulations of the Lao PDR. The complainant will bear the cost at this stage but will be reimbursed for their expenses by the MPWT if their complaint is successful.

It is important to note that the WB ESF and GRM do not apply to person-to-person disputes, but only state-to-person disputes. Person-to-person disputes

should be dealt with by the regular land registration dispute resolution mechanism.

71. In cases where a grievance still cannot be resolved, or not resolved to the satisfaction of the person making the complaint, the person has the right to submit a complaint to the District or Province authorities, as desired by the complainant. The Complainant could also decide to submit to complaint directly to the Courts. The complainant will bear the cost for these steps but will be reimbursed for their expenses by the MPWT if their complaint is successful.

72. Where accessible, complainants may opt to raise their grievances directly to PMU of DPC-MPWT as the Project Management Unit of the NLRECC Project via alternative means hotline call and/or text message (WhatsApp) largely used even in most rural area or via the project website to be set up under the project. Contact detail of focal staff from PMU-MPWT and CMUs of other ministries with the technical support form EDPD/PTRI are responsible for GRM should be provided in project information leaflet/booklet to be prepared and distributed to all project villages well in advance of consulting and GRM training for village mediation committees. GRM booklets should also include contact information for the relevant Village Mediation Units (first step of grievance redress).

73. The project will provide GRM committee in all target villages and districts/landscapes with a logbook where grievances are registered in writing and maintained as a database for monitoring and reporting. Sample templates for GRM logbooks (Table 5 and grievance forms are included in the SEP (Annex 2: Form to Submit Grievances).

74. Following engagement and feedback, the GRM and its operationalization considers the needs of various affected groups including from vulnerable groups, ethnic groups, and their representatives to ensure on methods are culturally appropriate and accessible and take account their customary dispute settlement mechanisms. Some sensitive cases of grievances, such as those relating to Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) or Violence Against Children (VAC) may require a professional or concerned entities to be engaged to help investigate and resolve. Budget for this is included in the implementation of ESMF instruments, including SEP. Confidentiality shall be preserved for anonymous complaints. The full ESIA should further look to examine the appropriateness and accessibility of the GRM, especially for ethnic groups.

75. As mentioned, if ethnic group are found, this GRM will need to be adjusted based on the needs of ethnic groups and this would be done in consultations with them. A representative from the Lao Front National Development will be invited to provide support to the GRM Committee and ensure that a local translator for a specific needs of the ethnic groups for their respective dialects is available during consultations.

76. Ethnic group interpreters will be used to address the language barrier to avoid misunderstandings and enhance cooperation and participation in activities with the support from the LFND. Therefore, at least one ethnic group interpreter will be used in each consultation and communication with ethnic group villages, regardless of where the village is located, to ensure that all villagers, especially the elderly and children, who often do not speak Lao, are able to understand information provided by the project. Also, since ethnic languages may not be written, communication materials will need to take this into account and adapt so that messages can still reach ethnic groups.

77. In order to facilitate women and vulnerable people's access to the mechanism, they will be specifically consulted with the support from the Lao Women's Union (LWU) who will be a member of the GRM Committee to ensure they are able to access the grievance mechanism.

7.2 Recording Grievances

78. Established and managed by the PMU and CMUs, and RCs, a complaints register will be established as part of the project to record any concerns raised by any stakeholder during the implementation of the NLRECC Project. Any serious complaint (such as life-threatening, relating to GBV/SH or criminal) will be advised to the World Bank within 24 hours of receiving the complaint. This register is multi-tier (village, district, province, PMU), with the PMU having overall responsibility for the database.

79. A summary list of complaints received, and their disposition, along with key statistics on the number of complaints and duration taken to close out, must be reported in each regular progress report. Each record is allocated a unique number reflecting year and sequence of received complaint (for example 2021-01, 2021-02 etc.). Complaint records (letter, email, record of conversation) should be stored together, electronically or in hard copy under the responsibility of the PMU and CMUs. The EDPD/PTRI will hire a Consultant to develop and install an user-friendly database program to be used by the PMU and CMU prior to the implementation of the project.

80. Grievances can be submitted anonymously, or the aggrieved person can also request their name be kept confidential. Responsibility for the Grievance Log will be with the PMU office and CMU offices. Grievances will be recorded in a Grievance Logs (Please see Table 5). This information shall include:

- Stakeholder name and contact details (if not anonymous).
- Details of the nature of the grievance.
- Date received, date investigated, date decided on, who decided on it, what response was provided, date of implementation of decision, etc., and
- How it was submitted, acknowledged, responded to, and closed out.
- Grievances can be submitted anonymously, or the aggrieved person can also request their name be kept confidential. Responsibility for the Grievance Log

will be with the Project Management Unit (PMU) and Component Management Units (CMUs) and RCs.

Table 5 Sample Grievance Log for the at the Village Level

Grievance Log								
Name of Complainant (or anonymous)	Sex (M/F)	Contact info	Date Received	Details of the nature of the grievance (Environmental impacts, social impacts, labour, health, SEA/SH, etc.)	To whom was grievance submitted	Actions to resolve grievance	Date grievance was settled (and what stage)	How was the response provided?

8 Monitoring and Reporting

81. Monitoring will be conducted as a routine exercise to avoid occurrence of environmental and social risks in the operation phase. Monitoring of Environmental and Social issues will focus on impacts identified in ESIA and its proposed mitigation. During NLRECC implementation phase, PMU and CMUs of MPWT with the technical support from EDPD/PTRI will monitor implementation of safeguards to ensure that the contractor is in line with the Environmental and Social Management Plan (ESMP). The CMU offices will be responsible for day to day monitoring of ESMPs as implemented by the contractor and addressing grievances occurred. Furthermore, the CMUs together with EDPD/PTRI will continue to monitor effectiveness of the ESMPs after construction phase and identify any risks which may emerge during operation phase. Contractor will prepare quarterly, semi-annual and annual progress reports that will summarize the ESMPs compliance, these reports will be submitted to CMUs and later on shared with the EDPD/PTRI and the WB. These reports will also be disclosed to the public. The CMUs and contractor through will prepare brief monthly reports on stakeholder engagement activities for the Operations which include:

- Activities conducted during each month;
- Public outreach activities (meetings with stakeholders). This reporting will include if translation was provided into relevant ethnic languages;
- Entries to the grievance register;
- Entries to the commitment and concerns register;
- Number of visitors to the information center at the PMU and CMUs and department agencies in the provinces;
- Progress on partnership and other social projects;
- New stakeholder groups (where relevant); and
- Plans for the next month and longer-term plans.

9 Annexes

Annex 1: Form to Submit Grievances

Grievance Form ID Number: _____ Date Received: _____

Complaints Received by (please check (√) the appropriate box):

MPWT DPWT Provincial District Village

Complaint made via (please check (√) the appropriate box):

In person Phone E-mail SMS Website

Complaint Box / Other advice Community/Village Meeting

Others _____

FULL NAME AND LAST NAME of Complainant (or Anonymous):

GENDER: Male Female

AGE: _____

CONTACT DETAILS (by post, by telephone, by e-mail):

STATEMENT OF GRIEVANCE (Reason for complaint and activity leading to complaint. Please include as much details as possible to answer the following questions: (i) what happened, (ii) when did it happen, (iii) who did it happen to, (iv) what was the impact of what happened. Include additional information as needed/desired.

REMEDY REQUESTED BY COMPLAINT:

SIGNATURE: _____ DATE: _____

FOR ADMIN USE ONLY:

Grievance Received by: _____

Action taken or required: _____

Annex 2: Results of Consultation Meetings and Interviews during Project Preparation

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
1	18/09/202 1	PPWT/ODX Province	1	<ul style="list-style-type: none"> - Road improvement - Capacity building - institutional arrangement - stakeholder and community engagement 	<ul style="list-style-type: none"> - ES Project experience? - ES framework, road construction, - Local livelihoods activities - Challenges - Needs - Opportunities 	<ul style="list-style-type: none"> - Road accidents due to poor road/narrow condition & low skilled truck drivers - Bigger traffic volume would result in road damage in down town and the higher risks of road accidents - Officials are not familiar with the new ESS - Female employees in the departments are less due to the nature of field. Female staff are mostly assigned to work on admin jobs. - Formation of committee to work with local community - Shortage of funding for road construction and improvement as the only available source of fund is from the national road funding scheme. 	<ul style="list-style-type: none"> - Widen the roads - Develop bypass road to facilitate the flow of trucks and decrease the volume of traffics as well as risk reduction of road accidents - Capacity building opportunities for implementing agencies including PPTW, PONRE, local Women's union. The capacity building could be by peer-to-peer exchange between the previous projects, training course, study visit. - Involvement of Women's Union in the work. - Increase the involvement with senior/elderly of ethnic groups and the LFNC (Neo Home). Early engagement with local communities to build trust and understanding is fundamentally important.

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
						- Some challenges in working with local communities such as ethnic minorities	
2	18/09/2021	PPWT/PSL Province and DPWT/Meuang Koua/PSL Province	5	- Dry port/consolidation center	- Needs - Challenges - Land use mostly 01 category - Local livelihood activities - Other related projects	- Concerns on the increasing volume of heavy traffic - Minor concern on the nearby cemetery and some impacting plants	- New bypass road - Land use law/awareness raising on the land right of local people - Early engagement with seniors/elderlies of the village
3	18/09/2021	Pac HoC Immigration Staff, Lao/Vietnam Checkpoint/PSL province	5	- Improvement of immigration and customs checkpoint facilities	- What improvements would they like to see? - Are there any problems with illegal trade of wildlife and human trafficking? - PPP LS company - QIC	- There is a lack of modern immigration facilities and lack of technology usage. - Delay due to the use of manual screening/checking freight - Limited area due to the mountainous location - Lack of clear/visible signage - Insufficient dormitories	- Staff would like to see improved checkpoint facilities such as track scales and scanning of passports. - Also improved accommodation facilities. - Improved waste management - Improved parking area at checkpoint, for larger vehicles - Accommodating agreement/arrangement work in relation to the LS company or others

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
						<ul style="list-style-type: none"> - Lack of government's intemperance over the private company (LS) - Scattered individual shops - Waste management concerns - No issue on wildlife and human trafficking 	
4	19/09/2021	PPWT/ODX province (Rial Way Project responsible Officer)	1	<ul style="list-style-type: none"> - Experience regarding socio-economic related to China Railway construction 	<ul style="list-style-type: none"> - What are they main problems encountered? - Experience in land acquisition and concession. - CHS, OHS, labour, contractor issues - Security - Waste management 	<ul style="list-style-type: none"> - Labour is important, local skilled workers are harder to control than migrant workers and the quality of work is lower than foreign workers - Site security control is challenging. Construction materials are often stolen - Labourers are not used to wear safety uniforms - Community health issues is overseen by the contracting company - Coordination is unclear 	<ul style="list-style-type: none"> - Seek key skilled labour from neighboring provinces - Imposing stricter and clearer rules and regulation for labour to follow. - Coordinate with Public security to assign security officers around the area - PPWT should regulate rules and monitoring system to ensure that companies comply with the set rules. - Coordination handbook and training should be jointly developed and should be provided prior the project start
5	19/09/2021	Site observation to Train	3	<ul style="list-style-type: none"> - Dry Port - Access road improvement 	<ul style="list-style-type: none"> - General site visit of proposed facility 	<ul style="list-style-type: none"> - Dry port will increase potential for efficient logistics between road and railway 	<ul style="list-style-type: none"> - Area is mainly farm land and rice fields

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Station/Meuang Xay/ODX Province					
6	19/09/2021	ODOP, Meuang Xay, ODX Province	2	<ul style="list-style-type: none"> - Local livelihoods - Trade 	<ul style="list-style-type: none"> - What is the current problem with sales and logistics? - How would an improved rail and road network improve their livelihood? - What is the supply chain? - Potential exporting market - Current market opportunity and future projection? - How their business benefits local communities? - Business plan - Local product development strategy 	<ul style="list-style-type: none"> - Only positive outcomes if rail and road network are improved especially on logistics, export and import, influx tourist, cost and time efficiency, better access to market opportunities - Unstable supplies from local communities - Product quality certification is still challenging to obtain because of the over chemical usage and lack of knowledge - Lack of negotiation power/skills - Lack of innovative solutions to add values to local products - Raw materials are sold at the very low cost. - Lack of attractive marketing strategy 	<ul style="list-style-type: none"> - Opportunities emerging from the railway connectivity road are logistic system and potential export to neighbouring countries as well as inflow of tourists, improve product value and packaging - Area to improve/challenges: Quality Control for Lao agricultural products, time consuming for product certification, capital, low supply, unqualify product quality, and marketing.

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
						- Obtaining Food and Drug certification is also complicated and time consuming	
7	19/09/2021	Agri-tech Centre/ODX Province	1	The center could help boost the Agricultural Dept. capacity	<ul style="list-style-type: none"> - Mandate/roles/functions/strategy of the centers? - What is this center lacking? - What improvements can be made - Opportunities and challenges 	<ul style="list-style-type: none"> - Facility is not used in its full capacity - Not enough technical capacity to operate - Insufficient government support and the center has to support itself by growing and selling local produce, livestock and poultry 	<ul style="list-style-type: none"> - Require human resource, technical support, funding and strategy development - The centre has a lack of water supply, insufficient capacity and resources, marketing strategy - Advantages road and rail could improve export of livestock and produce; Chinese could also provide livestock and poultry; if lab is operational and it could create international standards certification for Laos - If maximized, the facility's service development could generate income for the centre. Importantly, it could provide helpful services to local, regional, and national partners. More importantly, it could also support income generation to local

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
							<p>communities through alternative livelihood activities</p> <ul style="list-style-type: none"> - Potential PPP/private sector to develop Agro-tourism - Could potentially act as the regional/National/International QIC and certify body
8	20/09/2021	Deputy Village chief & wife/ Bane Yor/Meuang Beang, ODX Province	2	- Livelihood activities	<ul style="list-style-type: none"> - Ethnic groups in the village - Main livelihood activities - Family income 	-	- Welcomes the project and upgrading of road and rail facilities
9	20/09/2021	Local Pottery Production	2	Part of tourism and MSMEs for the local area	<ul style="list-style-type: none"> - What improvements can be made? - How would improving road network improve their livelihood 	<ul style="list-style-type: none"> - Proper marketing could help logistics and sales - Improved road and rail network could increase tourism - Shortage of raw material (Cray) - Shortage of labour - Labour intensive job 	<ul style="list-style-type: none"> - New machinery would help increase production - Better financial access - Business, product design and marketing plan

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
10	20/09/2021	Quick chat with Hmong lady along the road	1	- Livelihood and economic activities	- Online business opportunities - SH/GBV - Livelihood activities - Family income	-	- Online business training - Access to wider products
11	20/09/2021	Cotton/ ODOP M. Samkang/ Meuang Beang, ODX Province	2	- Part of socio-economic improvement - Community Cooperatives	- What improvements can be made? - How would improving road network improve their livelihood	- Lower sales - No project support - Only elderly work (four children study and work with government)	- They see benefits from improved road network - To improve community show room for displaying and selling products - Engage with younger generation in this traditional product development and preserving local culture
12	20/09/2021	DPWT/ Meuang Houn, ODX Province	5	- Consolidation Center - Bypass road	- Needs and challenges	- Increased traffic within townships, especially heavy vehicles will create traffic risks	- Benefit of bypass would reduce risk of traffic accidents, and also decrease travel time
13	21/09/2021	Nam Nguen Lao/Thai Border Checkpoint	2	- Improvement of immigration and customs checkpoint facilities	- What improvements would they like to see? - Are there any problems with illegal trade of	- There is a lack of modern immigration facilities - Lower border crossing activities due to Covid - Reported not to have any issues on wildlife and human trafficking	- Develop facility - Awareness raising among surrounding communities on land rights and usage

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
					<ul style="list-style-type: none"> wildlife and human trafficking? - Regulation/guideline and practice - Wild life and human trafficking 	<ul style="list-style-type: none"> - Surrounding communities are planting in the area 	
14	22/09/2021	PPWT/LPB Province	4	<ul style="list-style-type: none"> - Consolidation Center, parking area - Bypass road 	<ul style="list-style-type: none"> - General site visit and proposal of new facilities 	<ul style="list-style-type: none"> - 	<ul style="list-style-type: none"> - PPP in on the development of dry port - Improve bypass road
15	29/09/2021	Wildlife Conservation Society (WCS)	3	Stakeholder Engagement/ ESMF and Pre ESIA	<ul style="list-style-type: none"> - What region does the organization operate in? - If so, what are the main challenges working in that region or specific area - Have there been any studies in the proposed Project Area, if so what were the outcomes. 	<ul style="list-style-type: none"> -Are there any Protected areas within the project area. -Have there been any studies carried out within the Project Area 	<ul style="list-style-type: none"> - The rotation of GOL staff at the ministry level can be a set back, especially when carrying out capacity building with GOL staff. All resources are put into training up a staff member and then they are transferred into another department

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
					- Do you have any documentation to share		
16	29/09/2021	International Union for Conservation of Nature (IUCN) Laos	4	Stakeholder Engagement/ ESMF and Pre ESIA	<ul style="list-style-type: none"> - What region does the organization operate in? - If so, what are the main challenges working in that region or specific area - Have there been any studies in the proposed Project Area, if so what were the outcomes. <p>Do you have any documentation to share</p>	<ul style="list-style-type: none"> - Are there any Protected areas within the project area. - Have there been any studies carried out within the Project Area 	<ul style="list-style-type: none"> - Currently working on wetlands/peatlands across Laos - Main projects are Wetlands in southern Laos - Plan to map all wetlands in Laos - Funding mainly comes from GIZ and European Union - IUCN plan to do further survey in the Northern Provinces - IUCN's main role is to develop guidelines and management tools - Community engagement is important, especially with local women
17	29/11/21	Dr. Syseng – Livestock and Fisheries Departments, Ministry of	1	Improved connectivity between all provinces for import export of livestock and agriculture	<ul style="list-style-type: none"> - What do you think about this project? - What do you think are the positive/negative 	<ul style="list-style-type: none"> - Some negative impacts include increased risk of disease to agriculture and livestock - Agricultural and residential land impacts resulted from 	<ul style="list-style-type: none"> - BCF would need facility upgrades such as on site QIC, laboratories, and vehicle spray/sanitation equipment

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Agriculture and Forestry.			<p>impacts on Environment and Socials</p> <ul style="list-style-type: none"> - What do you think about the ESMF tools? Are they sufficient and suitable for the mitigation and management of potential enviro/social risks and impacts? - Any suggestions on ESMF tools? 	<p>new road, road improvement and expansion.</p> <ul style="list-style-type: none"> - Social issues: ethnic groups, gender - 	<ul style="list-style-type: none"> - Suggests to have rest stops along the road for vehicles to park and for drivers to take a rest. - Carefully consider location of other project facilities, as not to impact farmland. Especially in the hilly areas where agricultural land is scarce, ensure not to take away from livelihoods.
		Ms. Latsamee Vetsaphong – Lao Business Women’s Association	1	Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - In the past agreements between developer and stakeholders not being carried out. It might not be well studied prior project agreement is made. - Impact on agricultural land of local people especially on the fair and rightful compensation and resettlement process. 	<ul style="list-style-type: none"> - Use similar past projects as examples when preparing documents - Propose to arrange Lao product shops in train stations - Propose to have impact assessment, feasibility study, One door service to provide information and technical supports to investors/entrepreneurs who are interested to improve/establish their

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
						<ul style="list-style-type: none"> - The limited access of replaced communities to livelihood activities. 	businesses, strengthen negotiation mechanism/skills for Lao business to ensure the best benefits for Laos; improve Lao products to compete with international products.
		Mr. Sombun Lengsavanh, Deputy Director General – Ministry of Agriculture and Forestry	1	Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Local farmland and other property may be impacted by construction works - The old law is still in use by some agencies/ministries. - Ineffective law enforcement. 	<ul style="list-style-type: none"> - Ensure to mitigate social impacts and any resettlement in line with new Resettlement Law no. 45. Especially on the establishment of local resettlement committee which has to consist of member from MAF. - Ensure that the most recent/updated law is used. - Suggest to provide employment opportunities for local populations to ensure their better livelihood and lift them out of poverty.
		Ms. Phengdy Vilayvong, Technical Officer, Department of Ethnicity, Lao Front for National Development	1	Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Ethnicity - Vulnerable groups 	<ul style="list-style-type: none"> - Regarding ethnic groups, not only follow WB guidelines but also Lao National Guidelines and Lao Law as well - Document in more detail vulnerable groups, including widows and female headed households - Propose to have GRM and Village Reconciliation Unit based on the reconciliation decree.

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Mr. Savanh Chantakoummane - Forestry Department, Ministry of Agriculture and Forestry	1	Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - NPAs such as Phou Hipee and Nam Ha should be carefully assessed prior - Forest law may not well obliged by some groups especially Lao local people because are highly dependent on forest NTFP for their livelihoods and income. 	<ul style="list-style-type: none"> - The Forestry Department has had good experience with working together with WB - Follow WB safeguards - Various committees should be established prior to any construction or resettlement - Data on biodiversity and NPAs /forest should be collected - Accumulation impacts of road construction/improvement should be well assessed and mitigation measures should be well designed accordingly
		Mr. Keodala Sengthang, Police – Traffic department, Ministry of Public Security	1	Road safety during construction and operation phases	- As above	<ul style="list-style-type: none"> - Impacts from construction area are noise and dust - Locals do not understand construction details and have increased risk of accidents - Road users travel faster on roads, therefore increasing risk of accidents. - Increased chance for illicit drug trafficking due to better road condition and this may lead to road accident 	<ul style="list-style-type: none"> - Ensure construction workers follow all guidelines regarding noise and dust - Provide training and awareness raising for local villagers on road safety conditions - Project consultants should provide clear guidance on the plan and implementation at local levels.

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Mr. Bounxou FDD	1	Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - During construction, there will be some impacts to environment. - how to avoid impacts to important plants and animals - Multi-sectoral project 	<ul style="list-style-type: none"> - Ensure follow all guidelines set out in the documents - Workers and labor condition, (local and international) focus on health and safety and community health such as STI.
		Mr. Lampone Khounphakdy, Road Management Division– DOR, MPWT	1	Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Aware of the importance of the connectivity of the road and economic condition 	<ul style="list-style-type: none"> - Make sure to follow framework and find out what is additionally needed - DOR is in the final stages of selecting a consulting company to carry out FS by December of 2021
		Mr. Li Xiong		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<p>Environment</p> <ul style="list-style-type: none"> - Potential impacts from erosion - Impacts water quality, noise/dust/ - Impacts to NPA's and PPA's and wildlife <p>Social</p> <ul style="list-style-type: none"> - Ensure that all compensation is carried out correctly and according to all laws and guidelines 	<ul style="list-style-type: none"> - Ensure erosion control plans are in place during construction and especially during the wet season. Check high risk areas - Water quality needs to be monitored during construction, ensuring that soil disposal areas are away from water courses - Implement dust control in residential conditions - Ensure NPAs, PPA, Conservation areas are not impacted - Consider animal crossings if there are areas in which may have

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
							<p>potential to restrict animal movement</p> <ul style="list-style-type: none"> - Make sure that compensation amount is distributed properly and villagers are trained in how to manage their money
		Lao Farmer's Network		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<p>Social Impacts</p> <ul style="list-style-type: none"> - Improvement of roads may impact local farmland by encouraging international interest and taking away from local villagers. 	<ul style="list-style-type: none"> - If there is any resettlement, make sure that the locations are not far from their farmland - Positive impacts from improvements to feeder roads and consolidation areas will also be a huge benefit
		Ms. Vimala, Plan International		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Some ethnic groups may not understand Lao language - Villagers who have received compensation may spend all the money at once - Villagers may not understand the WB safeguard documents 	<ul style="list-style-type: none"> - When going to site and doing field work, ensure translators and Focus Group Discussion in place to enable space for full participation and engagement of local villagers. - Ensure the information on positive and negative impacts are provided to local villagers. - Provide training on management of money and financial literacy - Suggest to conduct evaluation by the end of the project.
		Ms. Phoukam – Water Dept.			- As above	<ul style="list-style-type: none"> - They will discuss internally and then respond via email officially 	-

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		(DWR) MONRE					
18	30/11/21 Provincial Consultations 08:00 – 12:00	Songthor – Department of Investment and Planning Xayabouly Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Villagers may not be consulted properly - Consulting companies might not follow the correct guidelines 	<ul style="list-style-type: none"> - Consult properly with every village and district who live in close proximity to the road - When developing documents, ensure to detail all impacts and mitigation measures - Carry out detailed survey to ensure correct compensation to avoid issues in grievance raised by local villagers which consequently may lead to further delay.
		Soulixay Hongsakhone – Deputy Director General, Department of Planning and Investment, Louangprabang Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Negative impacts include noise and vibration during construction - Potential Human trafficking especially vulnerable groups including women and children - But also increase risk of disease from inflow of travelers - Increase competition for farmland and unfair business conditions. 	<ul style="list-style-type: none"> - Establish E&S guidelines prior to any construction - Offer training to local villagers about the potential risk of human trafficking, and increase of labor - Locals will also benefit by having more shops to support increased travel, increased development and tourism - Promote higher level of local participation in impact assessment -

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Mr. Phonsay Toulaphan– Deputy Director General, Department of Health, Phongsaly		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Health, Dust and Noise, ensure villagers and protected - Illegal labor, human trafficking should also be the responsibility of GOL not only the Project 	<ul style="list-style-type: none"> - Environmental impacts will be properly managed in accordance with GOL and WB laws and safeguards - The project will benefit villagers by providing a network to connect with other provinces and countries - And follow guidelines set out in the documents
		Mr. Salika Douangpasert – Deputy Director General, Department of Public Works and Transport, LPB		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - None 	<ul style="list-style-type: none"> - If the project goes ahead, it will have positive impacts for locals - The train line will also help to improve travel time for visitors into LPB - Ensure that guidelines are followed - Provide training and awareness raising on road safety
		Mr. Souk Sounthala, Department of Natural Resources and Environment,		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Resettlement for residents residing along the road, farmland, livelihoods 	<ul style="list-style-type: none"> - Consider taking lessons learnt from other projects - Ensure the better livelihoods, fair and rightful resettlement for local people.

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Oudomxay Province					
		Mr. Laiphone Keomanivone, Division of Planning and Cooperation, Department Industry and Commerce, Oudomxay Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above		<ul style="list-style-type: none"> - Develop Logistic center in Oudomxay province as Oudomxay is the central points. - Provide capacity to government officials on BCF and road management - Develop coordination system with private sector by having Provincial Chamber of Commerce and Industry as a key player
		- Department of Planning and Investment, Phongsaly Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Compensation may not be detailed and unfairly distributed 	<ul style="list-style-type: none"> - Many positive impacts, especially for villagers for travel between provinces and internationally - Ensure all environment and social impacts are mitigated - And if any compensation is carried out to make sure it is fair and detailed - Recruit consultant and project implementation unit to be responsible for the mitigation measures implementation and information dissemination to ensure that local people are aware of and understand the project.

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Mrs. Manichanh Keomanivong, Deputy Director Genral, Department of Public Security, Louangnamtha Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	- It may be difficult to control the inflow of migrant labor and also the increased risk of human trafficking	- Needs to have trainings and awareness raising at the local level about human trafficking
		Mr. Leokham, Department of Public Works and Transport– Oudomxay Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	- Impacts to environment will be an issue but need to follow all guidelines to mitigate risks	- Discuss and consult closely with local villages about environmental issues, as they will be the ones affected the most.
19	01/12/21	MPWT – Meuang Mai		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	- No waste management currently in place	- Wants improvement to waste disposal for the BCF and surrounding area, as there is currently no waste management system in place

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Pang Hoc BCF, Phongsaly Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Would like to know if the E&S team will come back to do further study prior - Potential impacts to villagers livelihood when carrying out construction. 	<ul style="list-style-type: none"> - The environmental consultants would carry out further studies - Provide information dissemination on impacts to local levels.
		Ms. Boupnet, Natural Resource and Environmental Office, and Mai District, Phongsaly Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Regarding waste at Meaung Mai, there is no proper solid waste disposal location. Especially in the wet season disposal locations are hard to access - Pollution of waterways during construction - Existing land fill is not up to standards 	<ul style="list-style-type: none"> - Please consider detailed study at Pang Hoc Village, as to not have any impact on locals - Request for improvement to waste disposal. - Provide financial support and training for schools and villages for environmental programs - During construction, please take care of local waterways and villages. In the past, other projects have not taken care of the environment - Development of waste management program
		Mr, Xaysomphet, Deputy Director General, Department of Public Works		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Waste issues that caused by LS company and shops around in the BCF 	<ul style="list-style-type: none"> - Key priorities have been submitted to the MPWT

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		and Transport, Phongsaly Province					
		Mrs. Beung Ounlathong, Lao Women's Union, Mai district, Phongsaly Province		Human trafficking, and the influx of labor into construction area	- As above	<ul style="list-style-type: none"> - Meaung Mai have had history with human trafficking - Over 5 years ago, Chinese workers would come and marry girls following all local traditions and cultures. - In the case of one woman, she got pregnant and after some time she called the authorities because she was being treated unfairly, and they came to pick her up and back to her family - This happens regularly, when men (mostly Chinese) come and ask women (usually poor) if they want to be married. Family of women also think that it may benefit as usually these girls don't have any form of employment. 	<ul style="list-style-type: none"> - Follow Lao Law on human trafficking, need to do training in villages - Want to propose to the project to provide financial support to Women's Union to organize awareness raising and deliver training for villagers. - Provide IEC materials to enable better engagement and access to information of local villagers. The needed equipment/materials are: LCD, VDOs, posters, speakers...

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
						<ul style="list-style-type: none"> - The root causes for human trafficking are: poverty, unemployment, lack of information, insufficient budget for LWU to educate villagers on the human trafficking issues. 	
		Agriculture and Forestry, Phongsaly Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Currently there are issues with livestock being the cause of many road accidents 	<ul style="list-style-type: none"> - Proposed to get a budget for building animal fences or areas for livestock for each village, all the ones close to the main road. - Agriculture Dept, staff and villagers will be the ones to maintain.
		Mr. Laiphone, Technical Officer, Lao Women's Union, Beang district, Oudomxay Province (Whatsapp)		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Increased risks in human trafficking, sexual harassment - Business opportunities especially local potential products such as local Lhue ethnic fabric patterns, natural yarn bags. 	<ul style="list-style-type: none"> - Great opportunity for better livelihoods for local people as it brings better access, transportation, and products import and export, attraction of tourists to Laos. - Propose to provide financial support to women's union to organize awareness raising and provide training for local villagers on human trafficking, gender, child rights. - Organize product development trainings

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Mai District – Traffic Police		Traffic safety	- As above	- Have had many accidents between Khua to Mai district	- Request to have guard rails installed on high-risk areas, especially on the way up to Pang Hoc BCF
		Mr. Leokham, Department of Public Works and Transport, Oudomxay Province			- As above	- Proper ESIA	- Propose to the consulting firm to work closely with local authorities to ensure proper ESIA and data collection, and project implementation and monitoring.
		Mr. Thongphanh Souksavath, Vice Governor, Ngeun district, Xayyaboury Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	- Increased traffic on roads passing through Villages may increase the risk of traffic accidents	- They have already established specific areas for the BCF that they can share with the project - 7-8 villages along NR2W, and propose a detour road - Many benefits for new road, including increased income for local residents - Also prepared to support in any way for the project - We are confident in the development of these tools and ready to support the project.
		Mr. Souksakhon Phonpasith, Communicatio		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	- What are the real impacts for villagers living directly on	- Detailed study regarding compensation must be carried out

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		n officer, Lao Trade Union Office, Xay district, Oudomxay province				<p>the road and riverbanks (Namphak and Nambeang)</p> <ul style="list-style-type: none"> - An example of compensation problems with the trainline - Landfill and KM8 and Meuang Khua need to be improved 	prior to ensure clear and detail compensations.
		Buaphet Souththivong, President, – Womens Unions, Xay district, Oudomxay province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Potential impacts to enviro/socio, women have lots of impacts such as human trafficking, married to foreigners according to local cultures and practice but not according to procedure required by law - No direct budget for anti-human trafficking support, this needs to request from the Provincial office. - Also, no resources for team to help and monitor women victims who have returned to provinces and villages 	<ul style="list-style-type: none"> - Our human resources and capacity is ready to work and support the project. - Would like assistance in providing budget and support for training locals about human trafficking - Need support in providing skill training to victims and women to enable better readiness to enter to employment opportunities which consequently leads to less chance to return, engage in crime and human trafficking.

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Xayaboury province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above		- Propose to upgrade landfill
		Mr. Bounyern Souttideth, Head of office, Natural and Environmental Office, Pakbeang district, Oudomxay Province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Pak Beng is mountainous district with most of the population living along the road - Impacts to natural land from construction works - Put effort into supporting local villages especially women - 	<ul style="list-style-type: none"> - B. Don Saart, B. Saysana may have to relocate if road is upgraded - Consult with Nam Beng Hydro, not to impact existing infrastructure - Establish a budget for environmental monitoring during and after the project - Would like to see a representative from the Province to be on site to help in monitoring - Propose to have a consultant at central or provincial level to coordinate and support works with local levels.
		Mr. Vannasone Phonpaseth, DONRE, Hoon district, Oudomxay province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Sometimes the actual condition is not according to what is described in the documents - Contractors would not follow what is stated in the documents 	- Need to establish various committees and monitoring units at all levels to oversee construction activities

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Ms. Bouasone, Trade Union, Pakbeang district, Oudomxay province (Whatsapp)		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Labour management and treatment - Criminal issues caused by unemployed labours during covid 19 - Land and agricultural products impacts 	<ul style="list-style-type: none"> - Establish mechanism to ensure fair treatment for labourers - Ensure that compensations are made fair for impacted farmland and agricultural products - 119 labourers are available to support project and subproject works
		Mr. Sithat, Deputy Head, Lao Front for National Development Office, Hoon district, Oudomxay province (Whatsapp)		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Negative impacts: farmland, residential areas, agricultural products and environmental issues. 	<ul style="list-style-type: none"> - Propose to the project to have a proper study/ assessment by working closely with local authorities - Make a proper information, law and regulation dissemination to local villagers to make sure the access and understanding of information. - LFND has the obligations to work support project to work with local villagers.
20	03/12/21 Village Level Consultation	Head of Phonesavanh village, Houn district, Oudomxay province		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Potential impacts to property and farm land, - How would compensation be carried out? And what are the guidelines the project will use. 	<ul style="list-style-type: none"> - Ensure that compensation is carried out fairly, logically and is agreed upon by all stakeholders. The summary of the RPF was presented and discussed during the meeting

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Senior committee, Phonsavanh village		Stakeholder Engagement/ ESMF and Pre ESIA	- As above		<ul style="list-style-type: none"> - Fully support project and our village authorities will take responsibility in working with our village members to ensure effective collaboration with the project - Wish to see the project happen in near future.
		Village women union, Phonsavanh village			-		<ul style="list-style-type: none"> - Welcome and ready to support the project
		Village youth union, Phonsavanh village			-	<ul style="list-style-type: none"> - compensation and support to affected villagers 	<ul style="list-style-type: none"> - Agreed and ready to support the project
		Mr. Bounkong Thammavong, Village head, Xaysana village, Pakbeang district,		Stakeholder Engagement/ ESMF and Pre ESIA	- As above	<ul style="list-style-type: none"> - Impacts on farmland, human trafficking, conflicts with local people, road accidents resulting from better road condition. 	<ul style="list-style-type: none"> - Supports the project and all Villagers welcome the construction as it will bring more positive impacts to the village - Need to understand the compensation rates in urban and rural areas. -

No	Date	Department/ Organization	Number Participants	Relevance Sub-project Activity	Key Questions/Points Discussed and Follow-up	Project Concerning Issues	Recommendation/suggestion
		Oudomxay province					
		Mrs. Bounsone, Xaysana village, Pakbeand district, Oudomxay province			-	- Human trafficking especially risks on women	- Propose to project to support on anti-human trafficking work
		Mr. Bounsong, Xaysana village, Pakbeang district, Oudomxay province			-		- Propose to have higher engagement of women in project works especially on reconsiliation unit and anti- human trafficking works.
<p>- *Note; Number of village level consultations were lower than anticipated due to the COVID restriction. However it was emphasized that any stakeholder or villager can still submit their concerns or comments via whatapp or the project email as provided in the Invitation letters</p>							

Annex 3: Provisional budget for the SEP (For further discussion with PTRI and E&S Consultants)

Project stage	Project activities	List of information to be disclosed	Methods proposed	Target stakeholders	% reached	Estimated Budget (\$)
Project Inception		ESF Instruments	Website, E-mail, WhatsApp, Hard Copies	Government agencies, CSOs, INGOs, Development partners, communities, private sector	100% relevant agencies	200
Project Implementation		Updated project's ESF instruments,	Information leaflets, posters, and brochures; audio-visual materials, social media and other direct communication channels such as mobile/ telephone calls, SMS, etc.;	All stakeholders	100% stakeholders reached	5,000
		Feedback of project consultations	Public notices: Electronic publications and press releases on the MAF websites; Press releases in the local media (both print and electronic).	All stakeholders	100% stakeholders reached	500

Project stage	Project activities	List of information to be disclosed	Methods proposed	Target stakeholders	% reached	Estimated Budget (\$)
			Process in ethnic languages	Ethnic groups	100% ethnic representatives reached	30,000
		Grievance Redress Mechanisms	Information leaflets, posters, and brochures; audio-visual materials, social media and other direct communication channels such as mobile/ telephone calls, SMS, etc. Development and Installation of GRM Databased at the PMU and CMUs	All stakeholders CMUs	100% communities reached 50% are women 100% installed at the PmU and CMUs before implementation	20,000 25,000
Total Budget						\$80,700