

Social Monitoring Report

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Nam Ngiep 1 Hydropower Project (Lao People's Democratic Republic)

Quarterly Monitoring Report 2016 – Q3

Prepared by Nam Ngiep 1 Power Company Limited for the Asian Development Bank

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Nam Ngiep 1 Hydropower Project

Social Monitoring Report
Third Quarter of 2016

July to September 2016




					
A	06 January 2017	Vilayhak SOMSOULIVONG	Peter G JENSEN	Prapard PANARAM	Final version
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TABLE OF CONTENTS

1	EXECUTIVE SUMMARY	1
1.1	Background	1
1.1.1	Project Impact Zones	1
1.2	Main Progress and Key Issues	3
2	STATUS OF DIRECTLY IMPACTED HOUSEHOLDS AND PEOPLE	4
3	STATUS SUMMARY OF ASSET REGISTRATION, CHOICE SURVEY AND COMPENSATION	6
3.1	Summary of Asset Registration and Compensation	6
3.2	Summary of Choice Surveys	7
4	PROGRESS OF ASSETS REGISTRATION, COMPENSATION AND CHOICE SURVEYS FOR EACH ZONE	8
4.1	Target Zones for Asset Registration and Compensation	8
4.2	Zone 3 Asset Registration and Compensation	9
4.3	Zone 5 Asset Registration and Compensation	10
4.4	Additional Compensation of Land Assets in excess of the land quota per total labour force availability in the household	10
4.5	Zone 2LR Asset Registration and Compensation	11
4.6	Zone 2UR Asset Registration and Compensation	13
4.7	230 kV Transmission Line	14
4.8	Issues, Constraints and Solutions – Asset Registration and Compensation	15
5	RESETTLEMENT INFRASTRUCTURE	16
5.1	Houay Soup Resettlement	17
5.2	Zone 2UR Infrastructure Development	20
5.3	Other Infrastructure Works - Zones 4 and 5	24
5.4	Issues, Constraints and Solutions – Resettlement Infrastructure	24
6	GOVERNMENT AND COMMUNITY RELATION	24
6.1	Government Relation and RMU Support	24
6.2	Community Relations	25
7	GRIEVANCE MANAGEMENT	25
8	RESETTLEMENT PREPARATION	26
8.1	Zone 3	27
8.2	Zone 2LR	27

8.3	Issues, Constraints and Solutions – Community Relations	28
9	LABOUR MANAGEMENT PROGRAMME	28
10	CAMP FOLLOWERS	36
11	SOCIAL DEVELOPMENT	37
11.1	Education Promotion	37
11.2	Health	39
11.2.1	Health programme for resettled and host communities (zone 3 and 5)	40
11.2.2	Community health in other Project Affected Zones	41
11.2.3	Integrated Plan for Management of Water, Sanitation and Hygiene Program	41
11.2.4	Capacity building for GOL staff	41
11.3	Gender and Ethnic Minorities	41
11.4	Promote gender equality	41
11.5	Promote ethnicity program	44
12	VULNERABLE HOUSEHOLDS PROGRAMME	44
13	LIVELIHOOD RESTORATION	45
13.1	Livelihood Restoration in Zones 3, Zone 5 and Zone 2LR	45
13.2	Livelihood Restoration in Zone 2UR	49
13.3	Issues, Constraints and Solutions – Livelihood Restoration	52
14	SOCIAL AND ECONOMIC MONITORING	53
14.1	Socio Economic Monitoring	53
14.2	OSEM	53
14.3	Biennial Socio Economic Survey 2016	53
14.4	Business Income Survey	53
14.5	Fish Catch Monitoring	53
APPENDIX		55

TABLE OF TABLES

Table 2-1 Summary of households and people directly affected by the Project	4
Table 2-2 Summary of households affected by grave inundation	6
Table 3-1 Status of assets registration and compensation	7
Table 3-2 Status of grave registration and compensation	7
Table 3-3 Status of the indicative choice surveys: Resettlement at Houay Soup or self-resettlement .	8
Table 3-4 Status of choice surveys: Land for land or cash for land	8
Table 4-1 Current status of Choice Survey Zone 3 (Hatsaykham)	9
Table 4-2 summary table of asset registration and compensation Zone 3 (Hatsaykham).....	9
Table 4-3 Progress of Grave Registration and Compensation ZONE 3.....	10
Table 4-4 summary table of asset registration and compensation Zone 5 (Host villages)	10
Table 4-5 Asset registration and compensation households and companies affected	15
Table 6-1 Number of village meetings and attendance in Quarter 3, 2016	25
Table 7-1 The grievance status by each month from Q1 2015 – Q3 2016	26
Table 8-1 Summary of PAP visit to HSRA as of September 2016.....	27
Table 9-1 Worker Category (September 2016).....	28
Table 9-2 Employment on Site by Nationality and Owner / Contractor /subcontractor as of September 2016.....	29
Table 9-3 Female employment in Camp by Nationality and location (September 2016)	32
Table 9-4 Safety officers and medical staff for each camp.....	34
Table 9-5 Local Workers Hired by contractors in the third quarter 2016.....	35
Table 10-1 Achievements in Quarter 3, 2016	36
Table 10-2 Social issues reported by Police in Quarter 3, 2016	37
Table 11-1 Education promotion programme	38
Table 11-2 Scholarship award programme.....	39
Table 11-3 Progress and results of health monitoring	40
Table 11-4 Checking on GOL sentinel system on patients possibly induced by project activities	41
Table 12-1 Vulnerable households September 2016.....	44
Table 13-1 Summary of progress for livelihood restoration in zone 2lr, Zone 3 and Zone 5	45
Table 13-2 Progress on livelihood Restoration in 2UR	49
Table 14-1 Activities of the Fish Cath Monitoring Team for Q3 2016.	54

TABLE OF FIGURES

Figure 1	Overview map of the Project impact zones	2
Figure 2	Houay Soup Resettlement Area – time schedule and progress	16
Figure 3	Houay Arial view of the HSRA (September 2016).....	17
FIGURE 4	PHOTOS OF BRIDGE CONSTRUCTION FOR THE ACCESS ROAD TO THE HSRA	19
FIGURE 5	RICE GROWING AT THE PADDY FIELDS IN THE HSRA	20
Figure 6	Photos showing irrigation system in HSRA.....	20
Figure 7	Schedule and progress of infrastructure development in Zone 2UR	22
FIGURE 8	PHOTOS SHOWING PROGRESS ON THE IMPROVEMENT OF THE WATER SUPPLY IN ZONE 2UR	22
Figure 9	Photos showing the progress of the renovation of the Health Centre in Piengta	23
Figure 10	Peg setting stage 2 and stage 3, El. 320 – 321 at the 3 villages in 2UR	23
Figure 11.	Second round of gender training in Zone 3 and 5 (11- 15 August 2016).....	42
Figure 12.	Second round of gender training in Zone 2LR (4- 7 August 2016).....	43
Figure 13	Second round of gender training in Zone 2UR (25- 27 August 2016)	43
Figure 14	Modifications made to the house for use by the person living in a wheel chair.....	45
Figure 15	Paddy rice fields with experimental rice variety (Kao Kay Noy), Zone 2UR (September 2016)51	

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Scope: This document reports on the on-going works, implementation of the Project's plans to achieve its standards and targets, as disclosed in the Project's environmental and social safeguards documents.

Hierarchy: This quarterly report presents work-in-progress and any comment in this report shall not supersede any plans or obligations outlined in the Project's environmental and social safeguards documents. In case of inconsistencies, the latter takes precedence over the former.

Targets: In addition, targets for the next quarter, presented below, may be changed based on the Project's Adaptive Management Approach and the Project is not liable towards those targets but solely towards the plans and targets outlined in the environmental and social safeguards documents. This holds also true for drawings, maps, and technical specifications which shall be considered drafts, if not explicitly stated otherwise.

Abbreviation	Full Name
2LR	Zone 2 Lower Reservoir
2UR	Zone 2 Upper Reservoir
ADB	Asian Development Bank
AMSL	Above Mean Sea Level
AP	Affected People
BCS	Broad Community Support
CA	Concession Agreement
COD	Commercial Operation Date
DCC	District Coordination Committee
DGC	District Grievance Committee
DP	Displaced Person or Persons
EIA	Environmental Impact Assessment
EMMP	Environmental Management & Monitoring Plan
EMO	Environmental Management Office
EMU	Environmental Management Unit
FSL	Full Supply Level
GIS	Geographical Information System
GOL	Government of Lao PDR
ha	Hectare
HH	Household or Households
IAP	Independent Advisory Panel
IEE	Initial Environmental Examination
IMA	Independent Monitoring Agency
IMCI	Integrated Management of Childhood Illnesses
KANSAI	The Kansai Electric Power Company, Incorporated.
LAK	Lao Kip
MONRE	Ministry of Natural Resources and Environment, Laos PDR
MW	Megawatt (one million watts of electricity)
NGO	Non-Government Organization
NNP1	Nam Ngiep 1 Hydropower Project
NNP1PC	Nam Ngiep 1 Power Company
PAP	Project Affected People
OSEM	Ongoing Socio Economic Monitoring
PAH	Project Affected Household or Households
PIZ	Project Implementation Zone

Abbreviation	Full Name
PRLRC	Provincial Resettlement and Livelihood Restoration Committee
REDP	Resettlement and Ethnic Development Plan
REDP-U2LR	Resettlement and Ethnic Development Plan – Update for Zone 2LR
REDP-U2UR	Resettlement and Ethnic Development Plan – Update for Zone 2UR
REDP-U3	Resettlement and Ethnic Development Plan – Update for Zone 3
RMU	Resettlement Management Unit
SDP	Social Development Plan
SMO	Social Management Office
SPS 2009	Social Policy Statement 2009 (ADB)
ToR	Terms of Reference
UXO	Unexploded Ordnance
VDC	Village Development Coordination Committee

1 EXECUTIVE SUMMARY

This Social Monitoring Report of the Nam Ngiep 1 Hydropower Project covers the period from 01 July to 30 September 2016 and deals with the progress of implementation of the Social Measures referred to in Section 1.1 below, including compensation and resettlement.

1.1 Background

The Nam Ngiep 1 Hydropower Project is located along the Nam Ngiep River in Xaysomboun and Bolikhamxay Provinces of Lao PDR, downstream of the Nam Ngiep 2 Hydropower Project. The Project is situated some 41 km north of Paksan, the provincial capital of Bolikhamxay Province, itself located 145 km north-east of the national capital, Vientiane.

The main construction works of NNP1 started in October 2014. Impounding of the reservoir is scheduled for the rainy season of 2018 and electricity will be generated from the planned Commercial Operation Date (COD) in January 2019, over a concession period of 27 years.

The Social Measures are described in the approved Project Resettlement and Ethnic Development Plan (REDP), which was made public and uploaded onto the Project and Asian Development Bank (ADB) websites in June 2014. The REDP provides a comprehensive background to the Project and the legal framework in which the Project functions as well as a description of the applicable social safeguards policies. It further presents all project social and livelihood restoration plans including the Compensation Policy, Zonal Resettlement Action Plans, Livelihood and Income Restoration Plan, Ethnic Development Plan, Public Consultation Plans leading to Broad Community Support, and describes the implementation and monitoring structures for these programmes as well as a schedule and budget for their execution.

1.1.1 Project Impact Zones

As indicated in Figure 1, the implementation of the Social Measures is divided into geographical zones based on the assessment of the level and nature of the potential impacts from the Project construction and operations.

This report deals with implementation of Social Measures in the following Zones:

Zone 2UR (Upper Reservoir Area) covers the upper section of the immediate catchment area of the main reservoir below elevation 320 m AMSL. The three villages of Pou, Hatsamkhone, Piengta, located alongside the Nam Ngiep River, will be directly affected. All belong to Thathom District, Xaysomboun Province.

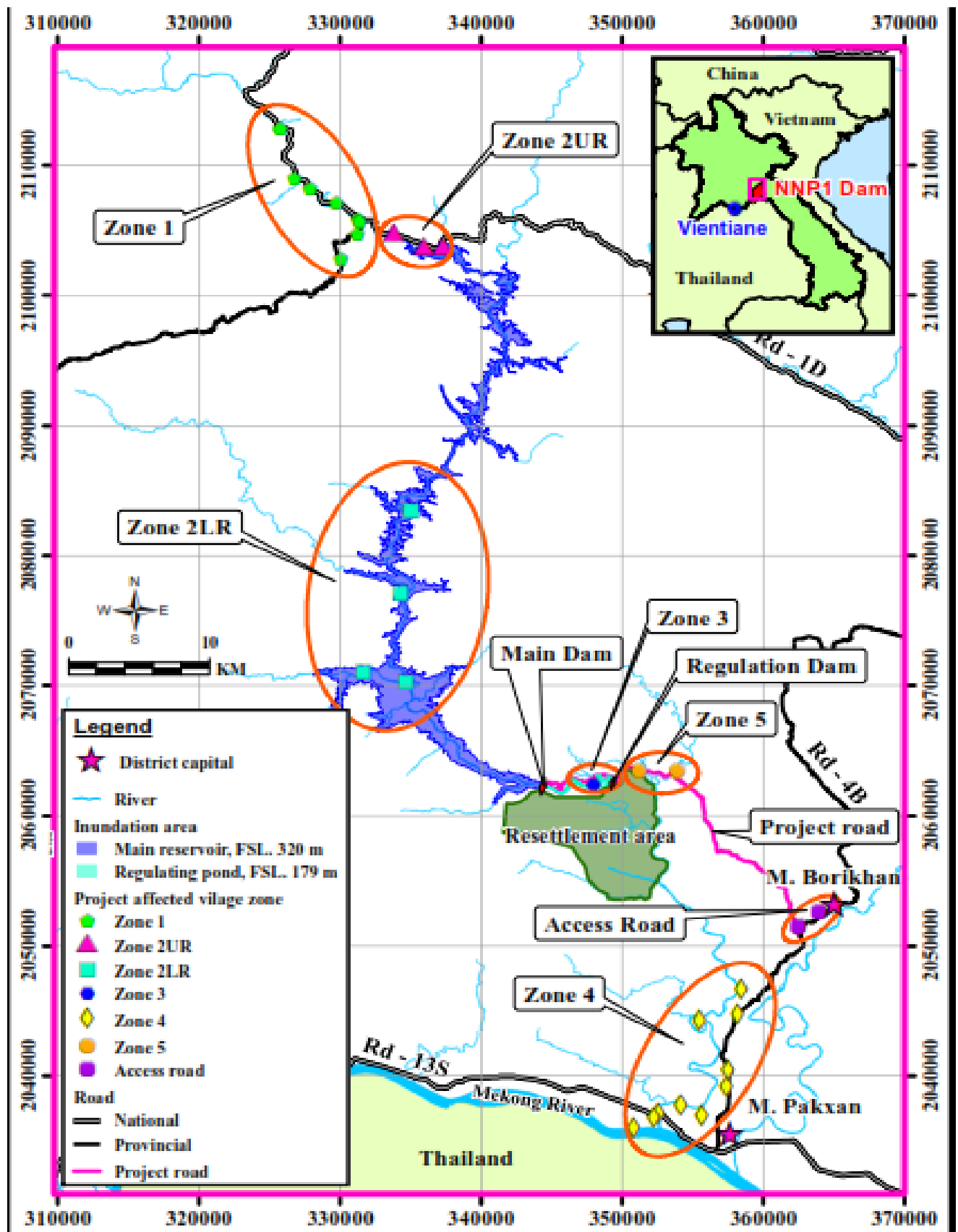
Zone 2LR (Lower Reservoir Area) covers the lower section of the reservoir, where the four villages of Houaypamom, Soppuane, Sopyouak, and Namyouak will be completely inundated. All are located in Hom District, Xaysomboun Province. All households in these villages will be resettled and compensated for the loss of housing, residential land, productive lands, and other assets, and will have their livelihoods restored.

Zone 3 (Construction Area) covers the area where the main project components are being built and includes one community, Hatsaykham, which administratively belongs to the village of Hat Gniun, one of the two host villages.

Zone 5 (Host Villages) covers the villages nearest to the resettlement site being Ban Hat Gniun and Ban Thahuea

230 kV Transmission Line corridor covers 24 villages located in one province and Vientiane municipality affected by the permanent acquisition of land for transmission tower bases and the temporary impact from construction and line stringing.

FIGURE 1 OVERVIEW MAP OF THE PROJECT IMPACT ZONES



1.2 Main Progress and Key Issues

Asset Registration and Compensation of Hatsaykham, Zone 3 The final choice survey for Hatsaykham in Zone 3 was completed in March 2016 with 19 households opting for resettlement at Houay Soup and the remaining 19 households opting for cash compensation and self-resettlement. The current status of resettlement choice is that 20 households will resettle at Houay Soup Resettlement Area and the other 18 households are self-resettlers. After the deadline [or after receiving compensation?] one of the self-resettlement households with the approval of RMU and NNP1PC decided to resettle at HSRA.

All 38 households have been fully compensated. This includes compensation for two graves in Hatsaykham.

Asset Compensation for Zone 5 Cash compensation of assets and land in Houay Soup Resettlement Area (HSRA) owned by households in the host village Hat Gniun and Somseun was completed for 92 out of 94 households. Two households have refused to accept the compensation value for their land, which they previously agreed upon and signed off on in the compensation agreement. [They refused because --- [explain why they refused] The two cases are dealt with under the grievance procedures.

Additional Compensation of Land Assets in excess of the land quota per total labour force availability in the household. In accordance with Addendum No 792 to the Compensation Policy issued by PRLRC, SMO has made consultations with eligible households based on available information in the asset registration database and started the compensation process for these households. NNP1PC has started asset confirmation with affected households in Zone 3 and Zone 5 for the land assets in excess of the land quota per total labour force available in the household. There are 33 households in Hat Gniun Village; 9 households in Somseun Village and 35 households in Hatsaykham. Agreements with and payments were made to 15 households during the third quarter of 2016, bringing the total number of payments to 56 households.

Asset Registration and Compensation in Zone 2LR

The final choice survey has started in Zone 2LR since 08 August 2016. Individual household consultations have been conducted with 127 households, out of the 481 households in Zone 2LR.

Following further consultations by the RMU, DCC and the project, 23 out of the 44 households in Namyouak who previously refused to participate in the asset registration decided to join the asset registration process. There remains 21 households in Namyouak who continue to refuse.

Grave compensation for Zone 2LR is completed, except for the two households from Namyouak who refuse compensation. Compensation payments were made to all eligible households. Bank books were returned to each household with updated status.

Asset Registration and Compensation in Zone 2UR

The final choice survey has started in Zone 2UR since 22 September 2016. Individual household consultations have been conducted with 80 households, out of the 231¹ households in Zone 2LR.

¹ 2 Identification Number (ID) out of 233 households in 2UR were issued for common asset. So, actually only 231 households are registered for impact on private assets

Grave compensation for Zone 2UR is completed. Compensation payments were made to all eligible households. Bank books were returned to each household with updated status.

Development of Houay Soup Resettlement Area The construction works for the development of Houay Soup Resettlement Area started at the beginning of March 2016 immediately after the relevant land had been compensated.

Significant progress has been made in the 3rd Quarter of 2016 towards completion of the infrastructure in the HSRA for the Hatsaykham Resettlers. This includes the construction of 23 houses of Lot1 and Lot 2, pre-primary school and teacher' accommodation, installation of temporary domestic water supply system, installation of 22 kV and 0,4 kV distribution line for PAP from Hatsaykham and solid waste disposal site in the HSRA. These are key facilities to determine readiness of the HSRA for relocation of 24 households from Hatsaykham cluster. The construction of the remaining activities including main road, tractor road and village internal road which were suspended during the rainy season, will be re-started in October 2016 and are expected to be completed in time for the resettlement of the 24 households from Hatsaykham on 12 November 2016 as planned.

2 STATUS OF DIRECTLY IMPACTED HOUSEHOLDS AND PEOPLE

The number of households and people directly impacted by the Nam Ngiep 1 Hydropower Project are indicated in Table 2-1 and Table 2-2. The Table provide the status, as at 30 September 2016, of the number of households and people identified as affected by (i) loss of both residence and productive land, and (ii) loss of productive land only and (iii) households affected by grave inundation.

TABLE 2-1 SUMMARY OF HOUSEHOLDS AND PEOPLE DIRECTLY AFFECTED BY THE PROJECT

Impact	Zone	Province	District	Village	Affected Households and People	
					HHs	People
A. Direct impacts						
A.1 Relocation						
Loss of residences, land, and access to production area (relocation)	Zone 2UR	Xaysomboun	Thathom	Pou	6	42
				Hatsamkhone	0	0
	Zone 2LR	Xaysomboun	Hom	Houaypamom	44	311
				Sopphuane	77	495
				Sopyouak	173	1,101
				Namyouak	187	1,290
Zone 3	Bolikhamxay	Bolikhan	Hatsaykham	39 ²	289	
Total relocation					526	3,528
A.2 Other direct impacts						

² Out these households, 1 not eligible to be Project Affected Household but the household has affected asset and required for compensation

Impact	Zone	Province	District	Village	Affected Households and People	
					HHs	People
Loss of land	Zone 2UR	Xaysomboun	Thathom	Pou	72	452
				Piengta	38	199
				Hatsamkone	67	429
Only impact of loss of road access to agricultural production area	Zone 2UR	Xaysomboun	Thathom	Pou	3	20
				Piengta	1	7
				Hatsamkone	12	65
		Households currently residing in other communities but with lands impacted	3 villages	3	NA	
Loss of land at Houay Soup resettlement site	Zone 5 Host Community	Bolikhambxay	Bolikhhan	Hat Gniun	54	305
				Thahuea	0	
				Somseun	24	138
				Thasikhai	0	
Additional impacts on communities from LAR Access Roads not counted above based on 2014 data	Access Roads	Bolikhambxay	Bolikhhan	Sisavath	30	184
				Nonsomboun	63	328
				Hat Gniun	46	230
				Hatsaykham	32	291
				Thahuea	27	162
Loss of land	230 kV Transmission Line	Bolikhambxay	Bolikhhan	26 villages	406	2,426
			Pakxan			
			Thaphabat			
		Vientiane	Pak Ngum			
Households currently residing in other communities but with lands impacted	49 villages	68	387			
Loss of land by people who own land in the impacted area but are living outside the village where land is impacted	Zone 2UR			11 villages	28	NA
	Zone 2LR			5 villages	6	NA
	Zone 5			Thasikhai	1	4
Total other direct impacts					980	5,623
Total Direct (A.1+A.2)					1,506	9,151

TABLE 2-2 SUMMARY OF HOUSEHOLDS AFFECTED BY GRAVE INUNDATION

A.3 Graves					Affected Households	Affected graves
Graves impacted by inundation	Zone 2UR	Xaysomboun	Thathom	Pou	35	190
				Hatsamkone	4	5
	Zone 2LR	Xaysomboun	Hom	Houaypamom	19	32
				Sopphuane	25	39
				Sopyouak	63	177
				Namyouak	64	114
	Zone 3	Bolikhamxay	Bolikhan	Hatsaykham	2	2
	Households currently residing in other communities but with graves impacted in the PIZ				57	280
Total					269	839

3 STATUS SUMMARY OF ASSET REGISTRATION, CHOICE SURVEY AND COMPENSATION

3.1 Summary of Asset Registration and Compensation

During the third quarter of 2016, asset registration has been completed in all zones except for 21 households in Namyouak (Zone 2LR) who refuse to have their asset be registered. Asset compensation has been completed in Zone 3 and Zone 5 (except for two households who refused compensation) while it is ongoing in zone 2UR and 2LR. The status as of 30 September 2016 is summarized in Table 3-1. The status presented in Section 3 and Sections 4.1-4.3 excludes the additional compensation required due to the amendment to the Compensation Policy in Addendum No 792 issued by PRLRC. The amendment disregards upper limits to land holdings based on quota per labour force in the household. The additional compensation is dealt with in Section 4.4.

All land acquisition for the Access Roads was completed in 2014 and is therefore not listed.

TABLE 3-1 STATUS OF ASSETS REGISTRATION AND COMPENSATION

ACTIVITIES	Zone 2UR	Zone 2LR	Zone 3	Zone 5 and Downstream	230 kV Transmission Line
Total Households	231	481	39	94	462
Field Asset Registration	231	437	39	94	462
Asset Registration Confirmed	228	437	39	92	442
Final Choice Survey Confirmed	80	127	38 ³	0	0
Compensation Completed	0	0	39	92	440

The status as of 30 September 2016 of the registration and compensation of graves is summarized in Table 3-2.

TABLE 3-2 STATUS OF GRAVE REGISTRATION AND COMPENSATION

Description	Zone 2UR	Zone 2LR	Zone 3	Total
Number of Registered Households	78	196	2	276
Number of Registered Graves	454	416	2	872
Number of Households with Grave Registration Confirmed	78	177	2	257
Grave Compensation/Response Complete	78	177	2	257
Refusal to accept compensation (Namyouak Village)		2		2

3.2 Summary of Choice Surveys

In collaboration with the respective Resettlement Management Units (RMU) and district authorities, the Nam Ngiep 1 Power Company (NNP1PC) has conducted final choice surveys in the applicable project Zones. The final choice surveys for Zone 5 and those households from Somseun who have land impacted in the HSRA was undertaken in the fourth quarter of 2015. The final choice survey for Hatsaykham (Zone 3) was completed in March 2016.

In the second quarter 2016, NNP1PC has started and completed indicative choice surveys in Zone 2UR and Zone 2LR villages except for the 44 households in Namyouak who refused to join asset registration. In the

³One household in Hatsaykham is not eligible to be PAP despite he was former of Hatsaykham resident but he moved out from the village and moved in again after cut of date.

third quarter of 2016, NNP1PC commenced the final choice survey in Zone 2LR and Zone 2UR and the Company plans to complete the final choice surveys during the fourth quarter of 2016. As of 30 September 2016, 127 households in Zone 2LR participated in their final choice survey and 80 households in Zone 2UR participated in their final choice survey.

Table 3-3 displays the status of choice surveys with respect to the choice between resettlement at Houay Soup and self-resettlement. This choice is only relevant for Zone 3 and Zone 2LR.

TABLE 3-3 STATUS OF THE INDICATIVE CHOICE SURVEYS: RESETTLEMENT AT HOUAY SOUP OR SELF-RESETTLEMENT

Description	Zone 2LR Households (Final Choice)	Zone 3 Households (Final Choice)
Houay Soup Resettlers	17	20
Self-Resettlers	51	18
Undecided	59	0
Not yet surveyed	354	0
Total	481	38

Table 3-4 presents the status of the final choice surveys with respect to the choice between land for land and cash for land. This choice is only relevant for Zone 2UR, Zone 5 and Downstream.

TABLE 3-4 STATUS OF CHOICE SURVEYS: LAND FOR LAND OR CASH FOR LAND

Description	Zone 2UR Households (Final Choice)	Zone 5 and Downstream Households (Final Choice)
Land for land	0	0
Cash for land	79	94
Undecided	1	0
Not surveyed	151	0
Total	231	94

4 PROGRESS OF ASSETS REGISTRATION, COMPENSATION AND CHOICE SURVEYS FOR EACH ZONE

4.1 Target Zones for Asset Registration and Compensation

Section 4 describes the progress of asset registration, choice survey and compensation for land resources (land and crops), structures and graves in the following zones:

- Zone 3 (Hatsaykham)
- Zone 5 (Host Villages) and Downstream
- Zone 2LR (Lower Reservoir)
- Zone 2UR (Upper Reservoir)
- 230 kV Transmission Line (Corridor).

4.2 Zone 3 Asset Registration and Compensation

A total of 38 households in Zone 3 (Hatsaykham) require resettlement.

The final choice survey was completed in March 2016 with 20 households opting for resettlement at Houay Soup and the remaining 18 households are opting for cash compensation and self-resettlement. The self-resettlement plans of all self-resettlement households have been approved by the RMU.

TABLE 4-1 CURRENT STATUS OF CHOICE SURVEY ZONE 3 (HATSAYKHAM)

Status of Choice Survey in ZONE 3	
Houay Soup Resettlers	20
Self-Resettlers	18
Undecided	0
Approved self-resettlement households by the RMU	18
Unapproved self-resettlement household by the RMU	0

As indicated in Table 4-2, all 38 households of Hatsaykham have been fully compensated. The compensation amount of all households has been transferred to their bank accounts and head of household and spouse of each household have signed the Compensation Agreements to certify receipt of payment for all the lost assets.

TABLE 4-2 SUMMARY TABLE OF ASSET REGISTRATION AND COMPENSATION ZONE 3 (HATSAYKHAM)

Activities	Cumulative Total Households	Completion Date Zone 3	Remarks
Total Households	38		
Field Inventory of Land Assets	38	16 November 2015	Completed
Field Inventory of Structures	38	30 December 2015	Completed
Asset Registration Confirmed	38	16 January 2016	Completed
Choice Survey (Preliminary)	38	21 January 2016	Completed
Final Choice Survey	38	03 March 2016	Completed
Compensation Agreement Signed	38	31 March 2016	Completed
Compensation Completed	38	31 March 2016	Completed
Hand-over of Bank Book Completed	38	31 March 2016	Completed
Outstanding Compensation (Land, Structures etc.)	0	15 May 2016	Completed

Grave compensation is completed. 2 graves registered by 2 households in Zone 3 of Hatsaykham village have been compensation in April 2016.

TABLE 4-3 PROGRESS OF GRAVE REGISTRATION AND COMPENSATION ZONE 3

ACTIVITIES	Cumulative	Target Date for Completion ZONE 3
Total Households with Graves	2	
Field Inventory of Graves	2	Completed on 11 November 2015
Confirmation of Grave Register	2	Completed on 26 February 2016
Bank account opening	2	Completed in December 2015
Grave compensation agreement	2	06 April 2016
Cash transfer	2	30 April 2016

4.3 Zone 5 Asset Registration and Compensation

A total of 94 households from Hat Gniun, the host village and Somseun in Zone 5 are affected by land acquisition for the Houay Soup Resettlement Area.

The asset registration for land and structures was completed in December 2015 for all 94 households.

The final choice survey (cash for land or land for land) was completed in November 2015 and all 94 households opted for cash compensation. The status of the compensation payment is presented in Table 4-4.

Two (2) households have not accepted the compensation that previously agreed. The land concerned is located on the southern margin of the Houay Soup Resettlement Area and is not critical for the development of Houay Soup for the resettlers from Hatsaykham.

NNP1PC has investigated the cases together with the land owners, and initial findings indicate that the two households have proof of ownership with respect to two parcels of land previously not registered. With respect to other claims, the investigations found no evidence justifying compensation. These findings still need to be confirmed by the RMU of Bolikhamxay and other relevant authorities.

No compensation for graves is required for Zone 5.

TABLE 4-4 SUMMARY TABLE OF ASSET REGISTRATION AND COMPENSATION ZONE 5 (HOST VILLAGES)

Zone 5 Activities	Cumulative Households (Total households: 94)	Target Completion Date
Asset Registration Confirmed	94	Completed in February 2015
Choice Survey Confirmed	94	Completed in November 2015
Compensation Completed	92	Completed by 15 February 2016
Pending Compensation	2	Expected by 30 November 2016

4.4 Additional Compensation of Land Assets in excess of the land quota per total labour force availability in the household

In accordance with Addendum No 792 to the Compensation Policy issued by PRLRC, NNP1PC has made an inventory of eligible households and started the compensation process for these households. NNP1 has started asset confirmation with affected households in Zone 3 and Zone 5 for the land assets in excess of the land quota per total labour force available in the household. There are 33 households in Hat Gniun Village; 9 households in Somseun Village and 35 households in Hatsaykham cluster. Agreements with and payments were made to 15 households, bringing the total to 56 households.

TABLE 4-5 SUMMARY TABLE OF ASSET COMPENSATION OF THE LAND ASSETS OVER LABOUR QUOTA IN ZONES 3 AND 5

Activities	Q3 2016	Cumulative Total Households	Target Completion Date Zone 5
Total Eligible Households		73	-
Asset Registration Confirmed		77	Completed February 2015
Compensation Agreement Signed	15	56	15 September 2016
Compensation payment	56	56	30 September 2016
Handing over bank book and Compensation Completed	56	56	30 September 2016
Outstanding Compensation Grievances	21	21	November 2016

4.5 Zone 2LR Asset Registration and Compensation

The progress and status of asset registration and choice surveys is presented in Table 4-6.

A total of 481 households in Zone 2LR require compensation prior to resettlement and by the end of September 2016 the asset registration has been completed for 460 households (96% of the households). In the beginning of the third quarter of 2016, following the public announcement of the PRLRC notice and Instruction by the RMU, 23 out of the 44 households in Namyouak changed their position and requested to participate in the asset registration process. Asset registration for these 23 households is completed.

The remaining 21 households are still refusing to have their assets registered. So, it is recognized that the asset registration and compensation is somewhat behind schedule. The main reason is because of the 21 households in Namyouak that are not willing to have their assets registered as they are not satisfied with the compensation policy and some of the unit rates. [what is their basis for requesting a higher compensation rate?] Despite concerted efforts from NNP1PC with support from the RMU of Xaysomboun and Hom Districts including several village consultation meetings with the aim to reach a joint agreement with the dissatisfied households, these households have continued to refuse to cooperate. The final choice survey is currently ongoing. Individual consultations with 127 households is completed. Final compensation for land, crops, and structures is expected to be executed in the 4th quarter of 2016. If by this time these 21 households still refuse [describe what happens]

TABLE 4-6 ASSET REGISTRATION AND COMPENSATION ZONE 2LR

Zone 2LR Activities	Q3 2016	Cumulative (Total 481 households)	Target Completion Date
Field Inventory of Land Assets	23	460	30 November 2016
Field Inventory of Structures	23	460	30 November 2016
Asset Register Confirmation	23	437	30 November 2016
Indicative Choice Survey	0	437	31 August 2016
Final Choice Survey	127	127	30 November 2016

No compensation for land, crops and structures has yet been paid in Zone 2LR. Table 4-7 sets out the proposed timeline for evaluating self-resettlement plans, making compensation agreements with each household, and finalizing compensation.

TABLE 4-7 PLAN FOR COMPENSATION IN ZONE 2LR

Zone 2LR Current Status of Choice Survey	Q3 total Households	Cumulative total Households (481)	Target Start Date	Target Completion Date
Final choice survey	127	127	15 August 2016	31 December 2016
Self-Resettlement Plan Accepted	0	0	01 August 2016	31 December 2016
Compensation Agreement	5	5	01 August 2016	31 December 2016
Households with Valid Bank Accounts (some having been opened ahead as they were needed to be used for grave compensation)		445 ⁴	19 April 2016	01 August 2016
Payment completed (and bank book handed over)	0	0	20 October 2016	31 December 2016

Table 4-8 indicates the progress and status of grave compensation for 2LR. A total of 416 graves owned by 196 households require compensation. Out of the total registered households and graves, 179 households with 398 graves are eligible for compensation of which 2 households from the group of 21 households do not accept grave compensation. 17 Households are not eligible for compensation, because their grave site(s) are above full supply level and as such not affected by the inundation. As of 30 September 2016, compensation payment is completed for 177 households.

TABLE 4-8 PROGRESS OF GRAVE REGISTRATION AND COMPENSATION/ACTION 2LR

Zone 2LR	Q3 2016	Cumulative	Target Date for Completion
Activities	(Total 416 graves registered by 196 households)		
Field Inventory of Graves	196	196	Completed in January 2016
Confirmation of Grave Register	0	196	Completed in March 2016
Grave Compensation Agreement	0	194	Completed by 15 May 2016
Households with Valid Bank Accounts	0	177	Completed by 31 May 2016
Cash Transfer	64	177	Completed by 31 August 2016

⁴ Opening bank accounts for the remaining households will be done after the final choice survey

Zone 2LR	Q3 2016	Cumulative	Target Date for Completion
Activities	(Total 416 graves registered by 196 households)		
Compensation payment completed and bank book returned to PAPs	64	177	Completed by 31 August 2016
Refusing compensation (Namyouak Village)	0	2	31 December 2016

4.6 Zone 2UR Asset Registration and Compensation

There are 211 households have land and other assets in Zone 2UR that require compensation for land acquisition, and 6 households⁵ out of these households are impacted on their dwelling. They will relocate within the village territory. No households in this Zone are required to resettle to new communities. During the final choice survey, these 6 households can opt between finding their own housing land or request the village to assign housing land for them and between NNP1PC building a replacement house or building their own replacement house⁶. However, 233 households including 2 households which are issued for common asset have registered their asset in zone 2UR with NNP1 project.

As of 30 September 2016, confirmation on the registered asset and final choice survey of each household is ongoing, with 80 households already participating. For the final choice survey, PAP are offered to opt between (i) land for land replacement (where the NNP1PC will purchase land on the commercial market using willing to buyer and willing seller principle) or (ii) cash compensation.

Results of the indicative choice survey conducted in all 228 Project Affected Households show that 100% of the total households wish to receive cash for land compensation. The results of the final choice survey so far confirm this pattern, 79 households have selected cash compensation and 1 household has not yet decided.

The target dates for the completion of each step are set out in Table 4-9.

⁵ Based on updated pegging, there are only 6 households from Ban Pou that will be affected by inundation of the reservoir.

⁶ For details on resettlement arrangements, please see the REDP U2UR, available on NNP1PC and ADBs website

TABLE 4-9 ASSET REGISTRATION AND CHOICE SURVEY IN ZONE 2UR

	Q3 2016 Households	Cumulative Households	Target Date for Completion Zone 2UR
Total Households	(Total households: 231)		
Number of household affected based on detail analysis of information obtained from the updated pegging	0	211	Completed on 30 June 2016
Field Inventory of Land Assets	0	231	Completed on 30 December 2015
Field Inventory Structures	0	231	Completed on 30 December 2015
Asset Register Confirmation	2	230	Completed on 31 May 2016
Indicative choice Survey	2	230	Completed on 31 May 2016
Final choice survey	80	80	31 December 2016
Signing Compensation agreement	0	0	31 December 2016
Cash Compensation Agreement	0	0	31 December 2016
Compensation Payment (handover of bankbook)	0	0	31 January 2017

TABLE 4-10 PROGRESS OF GRAVE REGISTRATION AND COMPENSATION/ACTION ZONE 2UR

Activities	Q3 2016 (Households)	Cumulative (HHs)	Target Date for Completion Zone 2UR
Total Households with Graves	454 (78 HHs)		
Field Inventory of Graves	0	78	Completed January 2016
Confirmation of Grave Register (eligible)	0	71	Completed 30 April 2016
Compensation agreement	0	71	Completed 15 May 2016
Households with valid bank accounts	0	71	Completed 31 May 2016
Cash transfer	0	71	Completed 31 May 2016

4.7 230 kV Transmission Line

The construction of the 230 kV Transmission Line along a land corridor requires the acquisition of small portions of land from individual land-owners, compensation for any temporary loss of income during construction, and compensation for restrictions on land use in the transmission line corridor. As of 30 September 2016, the compensation has been completed with 443 households. There remain 16 households which disagree with the compensation policy - most of these are located in Pakngueum District, Vientiane Capital and the district has established a special task force to deal with the issues. In addition there is one landowner who lives in Pakxe, Champassak and it has not yet been possible to set an appointment with this household.

The progress and status of asset registration and compensation payment is shown in Table 4-11.

A total of 462 landowners require compensation for the acquisition of land and/or for permanent restrictions on land use in the transmission line corridor. This does not include 17 landowners from Hatsaykham and Hat Gniun who were compensated separately (see Zone 3 and Zone 5 compensation).

The target date for completion of the compensation for land acquisition and structures is 31 December 2016.

Two households will be compensated for relocation of dwellings within their existing property.

One commercial plantation company that holds a concession agreement for a timber plantation is affected by the construction of the transmission line. A compensation agreement has been reached.

No compensation for graves and cultural resource is required.

TABLE 4-5 ASSET REGISTRATION AND COMPENSATION HOUSEHOLDS AND COMPANIES AFFECTED

	Q3 2016 (Households)	Progress To-date (Households)	Target Date for Completion
Total Landholders for Land Compensation	465		
Field Inventory of Land Assets	-	462	Completed
Field inventory of Structures	-	462	Completed
Asset Register Confirmation	0	452	30 October 2016
Households with Valid Bank Accounts	0	452	30 October 2016
Compensation Agreement	0	443	31 December 2016
Payment Completed (and Bank Book Hand-over)	0	443	31 December 2016
Outstanding compensation	0	17	31 December 2016

4.8 Issues, Constraints and Solutions – Asset Registration and Compensation

Issues and Constraints	Solutions
<p>21 households (23 less than at the beginning) in Namyouak, Zone 2LR, are not willing to have their assets registered for the following reasons:</p> <p>(1) They are unsatisfied with compensation unit rates;</p> <p>(2) They require compensation to be paid in cash instead of bank transfer, and</p> <p>(3) Request the GOL to issue a certificate as displace person or households of NNP1 project on which they can use to ask for authorization from any village</p>	<ul style="list-style-type: none"> - Public announcements of both PRLRC notice 695 and instruction 694 were organized in all 4 villages in 2LR and 2UR from 24 June to 29 June 2016. The instruction has specified measures on asset registration process “Figure 13 Asset Registration Flow Chart” set up in the main REDP. This includes setting up a deadline to participate in the asset registration, take photographs of existing residential assets, and estimate land holdings based on satellite images. - The 21 households continue to refuse to participate in the asset registration process. NNP1PC has estimated their assets based on satellite imagery. Staff were prevented from taking pictures of assets in the field by the asset owners. - NNP1PC will continue to work with PRLRC, RMU and DCC to encourage the households to participate and remains open to a reconsideration by the 21 households.

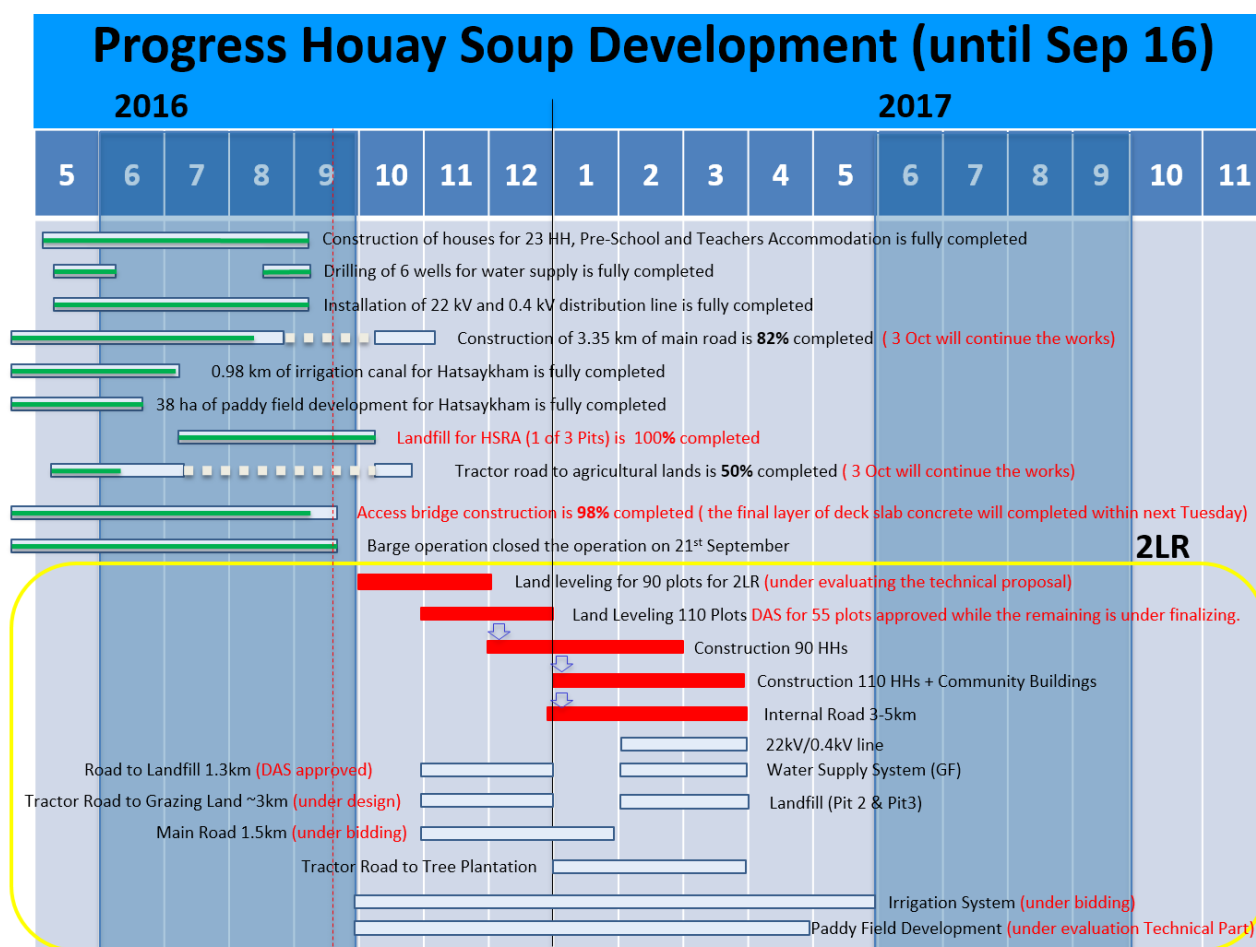
and authority that they want to resettle.	
The prolonged asset registration process will delay the delivery to ADB of the updated REDP for Zone 2LR	<ul style="list-style-type: none"> - The Updated REDP 2UR was approved by ADB on 28 September 2016 and will be made public in October 2016. - The Updated REDP 2LR will be made public in October 2016.

5 RESETTLEMENT INFRASTRUCTURE

The development of infrastructure for the PAP mainly concerns the development of Houay Soup Resettlement Area where construction works has commenced, following compensation payments for land, starting with the public infrastructure and residences for the 20 households of Hatsaykham (Zone 3). Work has also started on improving public infrastructure in Zone 2UR, Zone 4 (Downstream) and Zone 5 (Host Villages).

The progress of HSRA development is indicated in Figure 2.

FIGURE 2 HOUAY SOUP RESETTLEMENT AREA – TIME SCHEDULE AND PROGRESS



Note: The green line indicates the progress to date and the white bars and arrows indicate the critical path for first Hatsaykham resettlement. The red and white bars present time schedules for the preparation of infrastructure activities for Zone 2LR.

FIGURE 3 HOUAY ARIAL VIEW OF THE HSRA (SEPTEMBER 2016)



5.1 Houay Soup Resettlement

In Quarter 3 2016, NNP1PC has accelerated the construction of 12 infrastructure projects to facilitate the resettlement of 23 households from Hatsaykham which is scheduled to take place in November 2016; and significant progress has been made. This includes the construction of 23 houses of Lot1 and Lot 2, pre-primary school and teacher' accommodation, installation of temporally domestic water supply system, installation of 22 kV and 0.4 kV distribution line for PAP from Hatsaykham, and construction of solid waste disposal site in HSRA. These are key facilities to ensure that HSRA is ready for relocation of 23 households from Hatsaykham. The construction of the remaining activities including main road, tractor road and village internal road which were suspended during the rainy season, will be re-started in October 2016 and are expected to be completed in time to support resettlement of 23 households from Hatsaykham in November 2016 as planned.

TABLE 5-1 PROGRESS AND TIMETABLE FOR THE CONSTRUCTION OF HOUAY SOUP RESETTLEMENT AREA

No.	Activity	Target Date for Completion	Work Progress	% of Completion of Entire Work Volume
	Infrastructure activities in HSRA			
1	UXO clearance for cash crop garden, tree plantation, grazing land and new paddy field	Mid-May 2016	Completed	100%
2	Enhancement Works on Road Condition at Houay Soup & Jetty	Mid-May 2016	Completed	100%
3	Land Levelling for Hatsaykham re-settlers in Houay Soup	End of May 2016	Completed	100%

No.	Activity	Target Date for Completion	Work Progress	% of Completion of Entire Work Volume
4	Paddy field development of 38 ha for re-settlers in Houay Soup of which 11 ha are for Hatsaykham	End of June 2016	Completed	100%
5	Cash crop area (total area of 13 ha) for 23 households from Hatsaykham	31 May 2016	Completed	100%
6	Tree plantation area (total area of 13ha) for 23 households from Hatsaykham	31 May 2016	Completed	100%
7	Land development for grazing land, total 40 ha	31 May 2016	Completed	100%
8	Construction of 6 drilled wells for Hatsaykham	End of May 2016	Completed	100%
9	0.97 km Irrigation canal for Ban Hatsaykham	31 July 2016	Completed	100%
10	Installation of temporary domestic water system for Hatsaykham (The permanent system for entire HSRA will be constructed in 2017).		Completed	100%
11	22 kV and 0.4 kV Distribution Lines for Hatsaykham Re-settlers in Houay Soup	Mid-September 2016	Completed	100%
12	Access Bridge	Mid-1ctober 2016	- Placing the final layer of concrete for the bridge deck slab is ongoing	98%
13	Barge Operation	20 September 2016	- Completed operation and demobilized	100%
14	Main Access Road Construction of 3.35 km for Houay Soup Resettlement Area	30 October 2016	- No activity and progress in this quarter - The road construction is suspended to late October 2016 due to heavy rain	82%
14	Lot 1 - House construction for 17 houses for 17 households of which 11 are small size and 6 are medium size	End of September 2016	- 23 households completed the construction. - An additional house is under construction.	100% 20%
15	Lot 2 - Pre-school (1 unit) and accommodation for the pre-	End of September 2016	Completed	100%

No.	Activity	Target Date for Completion	Work Progress	% of Completion of Entire Work Volume
	school (1 unit) plus 6 houses including 4 large and 2 small.			
16	Solid Waste Disposal Site Phase I for Houay Soup Resettlement Area	September 2016	Completed	100%
17	2.7 km of tractor road to agriculture land for Hatsaykham re-settlers	30 October 2016	<ul style="list-style-type: none"> - No activity in this quarter - The construction is temporary suspended to October 2016 due to the rainy season. 	50%
18	Internal road of 0.65 km length for Hatsaykham re-settlers.	30 October 2016	<ul style="list-style-type: none"> - No activity in this quarter - The construction is temporary suspended to October 2016 due to the rainy season. 	50%

FIGURE 4 PHOTOS OF BRIDGE CONSTRUCTION FOR THE ACCESS ROAD TO THE HSRA



FIGURE 5 RICE GROWING AT THE PADDY FIELDS IN THE HSRA



FIGURE 6 PHOTOS SHOWING IRRIGATION SYSTEM IN HSRA



5.2 Zone 2UR Infrastructure Development

The planned infrastructure development in Zone 2UR comprises:

- Construction of a new suspension bridge across the Nam Ngiep to facilitate access to existing and new agricultural land
- Improvement of water supply systems

- Improvement of community infrastructure such as school buildings, a health centre, and other community buildings.
- Provide technical support for identification and development of new agricultural land as per request of PAP and District Governor.

To date, two infrastructure activities have been completed. These include:

- Pegging pole/column installation, and
- Construction of internal road

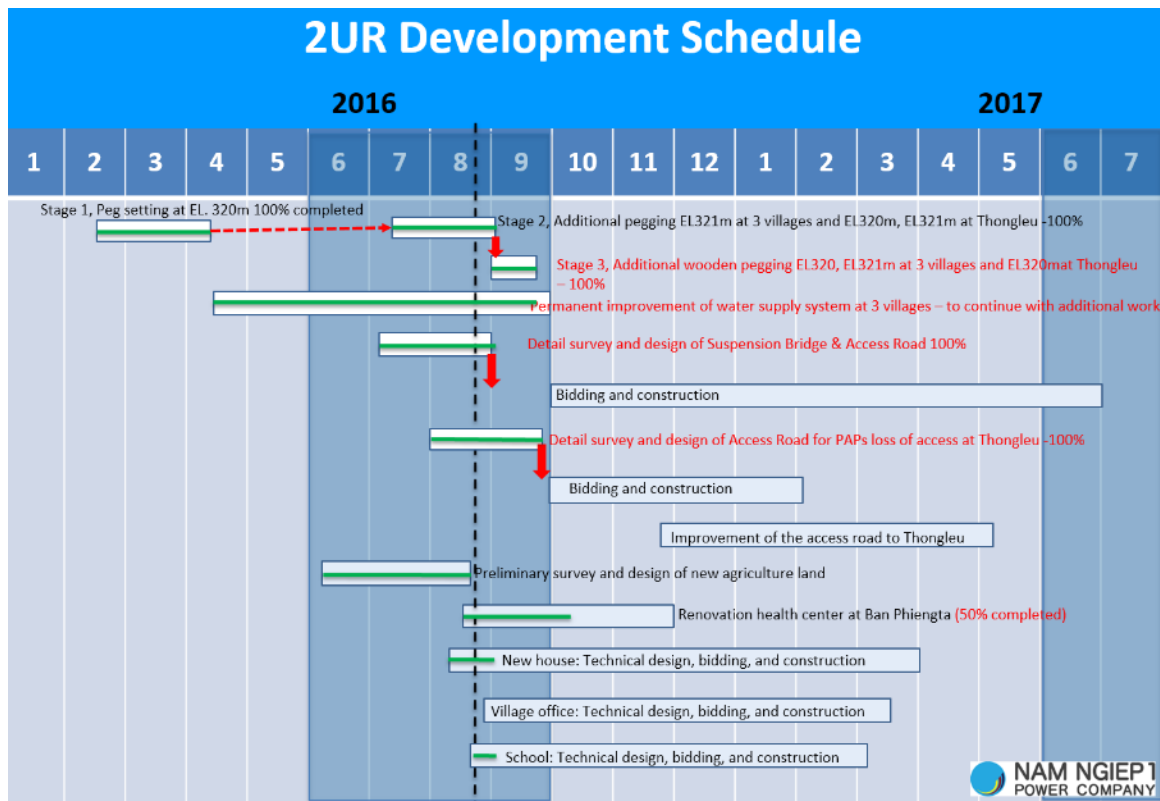
The other activities are under implementation.

All work progress is summarized in the table 5.2 and in the Gantt chart in Figure 6.

TABLE 5-2 INFRASTRUCTURE DEVELOPMENT IN ZONE 2UR

No	Activity	Date of Completion	Work Status	% of Entire Work Volume
1	Peg Setting and Installation of Concrete Pole 150 m apart	31 May 2016	Completed	100%
2	Improvement of Internal Road 2UR	31 July 2016	Completed	100%
3	Permanent Improvement of Water Supply System	31 July 2016	Completed	100%
4	Feasibility Study for New Agricultural Land to Support Land Allocation of the District	31 July 2016	Completed	100%
5	Peg Setting (Stage 2) Comprising the Additional Peg Setting at 10m Intervals for El. 321 m in Ban Pou, Ban Hatsamkhone and Ban Ohiengta and El. 320 m and El. 321 m in the Thongleu areas	September 2016	Completed	100%
6	Peg Setting (Stage 3): Comprising Additional Wood Pegging at 10 m Intervals and Survey Contour Line at El. 320 m, El. 321 m at Ban Pou, ban Hatsamkhone and Ban Phiengta and El. 320 m, El. 321 m at the Thongleu areas	September 2016	Completed	100%
7	Survey and Design of Access Road and Suspension Bridge which is Located in Hatsamkhone Zone 2UR	Mid-September 2016	Completed	100%
8	Renovation of Health Centre at Ban Piengta, Zone 2UR	November 2016	Ongoing renovation works of the 3 buildings.	50%

FIGURE 7 SCHEDULE AND PROGRESS OF INFRASTRUCTURE DEVELOPMENT IN ZONE 2UR



The green line indicates progress to-date.

FIGURE 8 PHOTOS SHOWING PROGRESS ON THE IMPROVEMENT OF THE WATER SUPPLY IN ZONE 2UR



Figure 9 Photos showing the progress of the renovation of the Health Centre in Piengta



Latrine building (before)



Latrine building (after)



Accommodation (before)

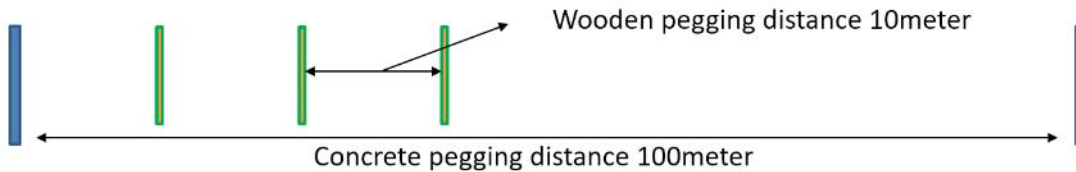


Accommodation (after)

Figure 10 Peg setting stage 2 and stage 3, El. 320 – 321 at the 3 villages in 2UR

Zone 2UR Peg setting

Stage 2, The additional concrete pegging 100m distance for El. 321 m



5.3 Other Infrastructure Works - Zones 4 and 5

The progress of development of planned infrastructure in Zones 4 and 5 is presented in Table 5-3.

TABLE 5-3 ZONE 5 (HOST VILLAGES) AND ZONE 4 (DOWNSTREAM)

Activity	Target Date for Completion	Work Progress	% of Completion of Entire Work Volume
Renovation of two primary school buildings and construction of two bus stops in Hat Gniun and Thahuea	30 June 2016	Completed	100%
Construction of two water supply systems in Hat Gniun and Thahuea Villages	31 May 2016	Completed	100%
Survey and design of water supply systems for 3 downstream villages in Zone 4	October 2016	Completed	100%

5.4 Issues, Constraints and Solutions – Resettlement Infrastructure

Issue and Constraint	Solution
Zone 2UR: To find replacement agriculture land in case PAP select land for land compensation (equivalent productive potential at a location and distance acceptable to the PAP). Limited available and suitable potential paddy field; available land would require huge investment	<ul style="list-style-type: none"> - PAP purchase agriculture lands by compensation money - If PAPs choice land for land, NNP1PC will acquire replacement land on the commercial market, applying willing buyer-willing seller principle.

6 GOVERNMENT AND COMMUNITY RELATION

6.1 Government Relation and RMU Support

In this quarter, the PRLRC issued the following documents:

- Addendum No 792 dated 20 July 2016 to the compensation unit rate number 1003 (See Appendix 1).
- Instruction 917 dated 05 September 2016 on Self-Resettlement (See Appendix 2).

Both were disseminated to the communities in 2LR.

Key activities:

- Completed the draft concept paper for preparation of the official opening of the bridge and the ceremony for handover of the 24 houses in HSRA
- Completed consultation with the Ministry of Health and Ministry of Foreign Affairs for the Waen Kaew Project. The Waen Kaew Project is a cooperation with a Thai NGO, who will provide free eye checks by Thai Opticians for PAPs from Zone 2LR and Zone 3. Following an eye check, prescription glasses will be provided, free of charge as well. A team of dentists will do dental checks and dental repairs.

6.2 Community Relations

The plan and target of the Community Relations activities are to communicate correct information to the PAPs, to build mutual trust and create a smooth environment for the project implementation, and to solve issues and problems related to the project.

Key activities:

- **Zone 3** – Facilitated and supported village meetings on resettlement works in Hatsaykham.
- **Zone 2LR** – Continued to encourage and provide relevant information to the 21 households in Namyouak who refuse to join asset registration.

TABLE 6-1 NUMBER OF VILLAGE MEETINGS AND ATTENDANCE IN QUARTER 3, 2016

	Cumulative Total in Q3 at end of September 2016			Date of meetings
	No. of Meetings	No. of Participants	No. of Women	
Zone 2LR				
Sopyouak	2	57	13	22/9/2016 and 27/09/2016
Namyouak	2	44	15	22/9/2016 and 28/09/2016
Sopphuane	2	39	11	22/9/2016 and 27/09/2016
Houaypamom	2	37	10	22/9/2016 and 26/9/2016
Zone 3				
Hatsaykham	2	45	25	
Zone 5				
Hat Gniun	0	0	0	
Thahuea	0	0	0	
Total	10	222	84	

7 GRIEVANCE MANAGEMENT

The status of grievances is summarized in Table 7-1. During Quarter 3, 2016, 66 grievances were received. NNP1PC together with the RMU and district grievance committee started investigating aiming at resolving all grievance cases pending up to date. Most of grievances are related to the land quota per labour issue specified in the compensation policy and the adjustment to the compensation policy has required time.

The Addendum to the Compensation Policy No. 792 dated 20 July 2016 was issued by PRLRC and grievances are reviewed based on the revised policy. Outstanding compensation payments are ongoing (see section 4.4). This will solve most of the grievances from Zone 3 and Zone 5. On 07 September 2016, the grievance hearing meeting was organized for Grievances from Hatsaykham.

TABLE 7-1 NUMBER OF GRIEVANCES RECEIVED AND CLOSED THIS QUARTER (Q3 2016)

	Received	Closed
Annual Total 2014	39	13
Q1 2015	4	3
Q2 2015	2	2
Q3 2015	3	1
Q4 2015	15	3
Annual Total 2015	24	9
Q1 2016	115	0
Q2 2016	20	5
Q3 2016	66	9
Annual Total 2016	201	14
Grand Total	225	23

TABLE 7-2 GRIEVANCES BY MAIN CATEGORY RECEIVED AND CLOSED THIS QUARTER (Q3 2016)

Main Categories of Grievance cases		Received in Q3 2016	Closed in Q3 2016
1	Perceived omission of asset during registration	63	
2	Perceived error in the registration of assets		1
3	Perceived error in the compensation calculation	1	2
4	Perceived error in the cash transfer to bank account		
5	Actual impact exceeds forecasted (compensated) impact	2	1
6	Perceived issue with replacement Infrastructure provided		
7	Others		5 ⁷
Total		66	9

⁷ 5 households in Hatsaykham requested to change their final choice, from Self-Resettlement to moving to the HSRA.

8 RESETTLEMENT PREPARATION

The main activities on resettlement preparation involved activities to (i) ready the PAPs in Hatsaykham for relocation and (ii) provide information on the two options for resettlement to the 2LR PAPs. They will have to choose between Resettlement to the HSRA and Self-Resettlement.

8.1 Zone 3

The resettlement preparation activities for Zone 3 in Quarter 3, 2016 included:

- Continued to distribute rice to PAP in Hatsaykham (monthly distribution of 5,553 kg rice to 38 households, 305 persons).
- Continued to support RMU and relevant district authorities to prepare and issue and use certificates for Hatsaykham Re-settlers.
- Continued to follow up on the preparation by Self-Resettlers to move out of Hatsaykham by [what date];
- Continued to prepare for the resettlement of Resettlers to the HSRA scheduled for 12 November 2016
- The 19⁸ households decided to schedule their relocation to HSRA on 12 November 2016 based on Hmong culture and calendar;

8.2 Zone 2LR

The resettlement preparation activities for Zone 2LR in Quarter 3, 2016 included:

- Support PAPs from 2LR to visit the HSRA (refer to Table 8-1)
- Assisted with the preparation of the compensation for each individual household in Zone 2LR;

TABLE 8-1 SUMMARY OF PAP VISIT TO HSRA AS OF SEPTEMBER 2016

Village	No. of Households	No. of PAPs
Houaypamom	16	25
Sopphuane	68	108
Sopyouak	107	183
Namyouak	146	219
Total	337	535

⁸ 19 Households from Hatsaykham will be relocating to 23 houses in the HSRA, since 4 households will split in accordance to the compensation policy. A large household (9 or more people) comprising two or more families can split into 2 households.

8.3 Issues, Constraints and Solutions – Community Relations

Issues and Constraints	Solutions
Preparation of Self-Resettlement-Plan takes time and careful collection of required documentation and approvals	Project and DCC staff provide support to each individual household who is preparing their Self-Resettlement Plan.

9 LABOUR MANAGEMENT PROGRAMME

Due to the large numbers of labourers, careful adherence is required to policies and statutory requirements governing labour.

ADB's Social Protection Strategy 2001 requires the Borrower, NNP1PC, to comply with applicable national labour laws in relation to the Project (presented above), and to take measures to comply with the core labour standards for the ADB financed portion of the Project.

The objectives of the labour management programme are:

- i. To assist the GOL to monitor labour management practices and ensure they comply with national laws;
- ii. To promote local recruitment;
- iii. Ensure that core labour standards are upheld and measures are followed to protect the health and safety of workers;
- iv. To monitor and report on employment levels in relation to cross cutting issues of local employment and gender.

The Nam Ngiep 1 Power Company provides ongoing support to the Provincial Department of Labour and Social Welfare to facilitate the presence of one full-time staff member to be stationed full-time in the Site Office in Hat Gniun Village. In addition to the representative of the Department of Labour and Social Welfare, one staff member of the Trade Union is also supported to be stationed there full-time. The Site Office is combined with the Police Station in Hat Gniun. Office equipment, motorbikes and operational cost is supported on a monthly basis.

This September 2016, the total number of workers is 2,784 persons (253 females). Lao workers working for the Company have decreased from the previous report from 1,084 to 1,011 persons including 103 workers from the host villages. The composition of the labour force is tabulated in the worker statistic chart below. The number of Lao workers working for the company decreased from 44% to 36%. 11 contractors including PKCC, SECC, and LUNC for development of Houay Soup Resettlement Area and another 8 contractors employ only Lao workers. The composition of the labour force is tabulated in Table 9.1

TABLE 9-1 WORKER CATEGORY (SEPTEMBER 2016)

Worker Category	Male	Female	Total	Percentage
Foreigner Worker	1,704	69	1,773	64%
Lao Worker (Total)	827	184	1,011	36%
Worker from Host Villages	64	39	103	10%
Hmong Worker from Host Villages	1	3	4	4%
Grand Total	2,531	253	2,784	100%

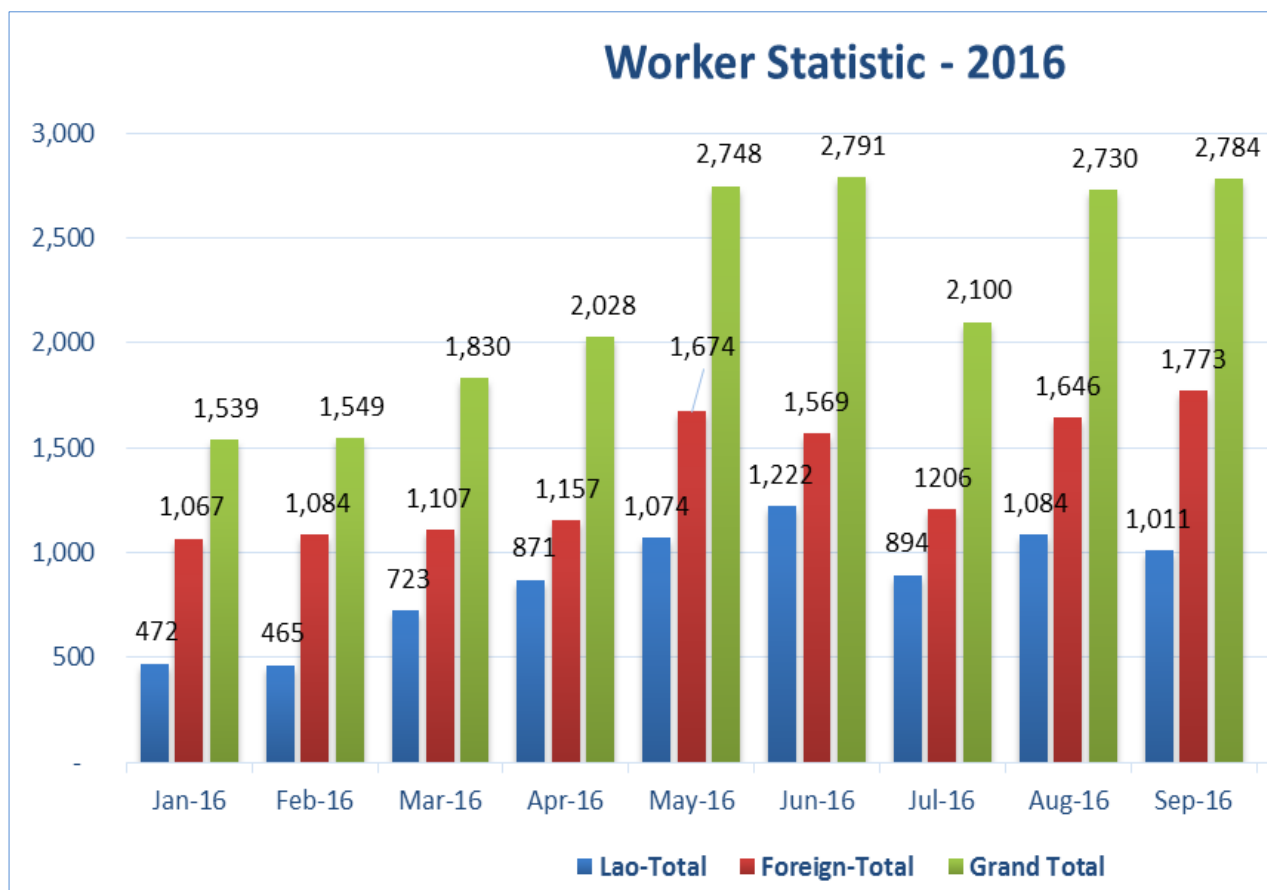


TABLE 9-2 EMPLOYMENT ON SITE BY NATIONALITY AND OWNER / CONTRACTOR /SUBCONTRACTOR AS OF SEPTEMBER 2016

Item Number	Employer	Host Villages	Local Provinces (BKX/XS B)	Workers from other Provinces	Total Lao's Workers	Total Foreign Workers	Grand Total	Percent of Lao Workers
		No.	No.	No.	No.	No.	No.	%
	NNP1PC							
0.1	Vientiane Office	0	0	36	36	6	42	86%
0.2	Pakxan Office	3	24	96	123	7	130	95%
0.3	Site Office	8	17	38	63	25	88	72%
	Total NNP1PC	12	43	175	230	40	270	85%
	Owner's Engineer							

HMW 0.4	<i>Thai-Nippon Systems Eng.</i>	0	0	0	0	2	2	0
TLW 0.5	<i>EGAT</i>	0	0	0	0	4	4	0
	Total Owner	12	43	175	230	46	276	83%
Principal Contractors and Subcontractors – Main / Re-regulating Dams and Powerhouses								
1 CW	Obayashi Corporation	1	23	13	37	106	143	26%
1.1	<i>PKCC</i>	15	42	44	101	3	104	97%
1.2	<i>Right Tunneling</i>	0	4	5	9	7	16	56%
1.3	<i>Sino Hydro/ TCM Engineering</i>	8	54	68	130	112	242	54%
1.4	<i>Song Da 5</i>	57	133	34	224	1,388	1612	14%
1.5	<i>TCM Eng.</i>	1	4	2	7	6	13	54%
1.6	<i>V & K Concrete</i>	4	5	38	47	31	78	60%
1.7	<i>GFE</i>	0	5	3	8	6	14	57%
1.8	<i>Lao Security Service</i>	0	1	7	8	-	8	100%
2 EMW	H-M Hydro	5	0	7	12	5	17	71%
<i>RPH 2.1</i>	<i>Lilama10</i>	0	6	0	6	12	18	33%
<i>MPH 2.2</i>	<i>Zefu</i>	0	0	0	0	0	0	
2.3	<i>HPC</i>	0	0	2	2	2	4	50%
2.4	<i>PANO</i>	0	0	0	0	0	0	
2.5	<i>MHT</i>	0	0	0	0	0	0	
3 HMW	IHI IIS	0	1	6	7	8	15	47%
3.1	<i>276 MC</i>	0	0	0	0	35	35	0%
3.2	<i>Lao Security Service</i>	0	0	4	4	0	4	100%

4 TLW	Loxley-Sri Consortium	0	5	6	11	3	14	79%
4.1	<i>RCR</i>	0	11	39	50	3	53	94%
	Total Principal Contractors	91	294	278	663	1,727	2,390	28%
Contractors - Houay Soup Resettlement Area								
5 Bridge	SECC (State Ent. of Com. Constr)	0	0	29	29	0	29	100%
6 Barge	Soksay Chaluernsap	0	0	5	5	0	5	100%
7 Main Road	VRC (Vorarith RBB)	0	2		2	0	2	100%
9 Irrigation	Bolikhamxay Provincial Irrigation Dept.	0	2	0	2	0	2	100%
11.22 kV	SES Electrical Installation	0	0	6	6	0	6	100%
12 Houses	Nalux CC	0	0	4	4	0	4	100%
13 Houses	Viengoudo m-xub CC	0	6	2	8	0	8	100%
14 Land Fill	Phoukham Chanvong CC	0	0	10	10	0	10	100%
	Total HSRA	0	12	76	88	0	88	100%
Contractors for Other Zones								
Contractors - Zone 5								
Contractors - Zone 2UR								
16 Water	Soudavanh CC	0	6	2	8	0	8	100%

	Total Contractors in Zones	0	6	2	8	0	8	100%
Contractors - Biomass Clearance								
	Total Biomass Contractor	0	2	20	22	0	22	100%
Total All								
	Total All	103	357	551	1,011	1,773	2,784	
	Total (%)	3.7%	12.8%	19.8%	36%	64%	100%	36%

TABLE 9-3 Female employment in Camp by Nationality and location (September 2016)

Item Number	Employer	Host Villages	Workers of Local Provinces (BKX/XSB)	Workers from other Provinces	Total Lao's Female Workers	Total Foreign Female Workers	Grand Total Female Workers	
		No.	No.	No.	No.	No.	No.	%
0	OWNER							
	NNP1PC							
0.1	Vientiane Office	0	0	14	14	0	14	33%
0.2	Pakxan Office	0	10	22	32	3	35	26%
0.3	Site Office	9	3	3	15	0	15	16%
	Total NNP1PC	5	17	39	61	3	64	24%
	Owner's Engineer							
HMW 0.4	<i>Thai-Nippon Systems Eng.</i>	0	0	0	0	0	0	0
TLW 0.5	<i>EGAT</i>	0	0	0	0	0	0	0
	Total Owner	5	17	39	61	3	64	24%
Contractors and Subcontractors – Main / Re-regulating Dams and Powerhouses								

Item Number	Employer	Host Villages	Workers of Local Provinces (BKX/XSB)	Workers from other Provinces	Total Lao's Female Workers	Total Foreign Female Workers	Grand Total Female Workers	
1	Obayashi	1	8	3	12	6	18	13%
1.1	PKCC	10	3	4	17	0	17	16%
1.2	Right Tunneling	0	1	0	1	2	3	19%
1.3	Sino Hydro/TCM Engineering	4	0	0	4	14	18	7%
1.4	Song Da 5	5	0	1	6	38	44	3%
1.5	TCM Engineering Co., Ltd.	1	2	1	4	1	5	38%
1.6	V & K Concrete Sole Co., Ltd.	0	1	3	4	1	5	6%
1.7	GFE	0	0	0	0	0	0	0%
1.8	Lao Security Service	0	0	0	0	0	0	0%
2	H-M Hydro	4	0	0	4	0	4	24%
2.1	Lilama 10		0		0	0	0	0%
2.2	Zhefu	0	0		0	0	0	
2.3	HPC	0	0	0	0	0	0	0%
2.4	PANO	0	0	0	0	0	0	
2.5	MHT	0	0		0	0	0	
3	IHI IIS	0	1	2	3	0	3	20%
3.1	276 MC-JSC	0	0	0	0	0	0	0%
3.2	Lao Security Service	0	0	0	0	0	0	0%
4	Loxley-Sri	0	0	1	1	0	1	7%
	RCR	0	1	0	1	0	1	2%
Contractors - Houay Soup Resettlement Area / Zones / Biomass								
5	Lao Uneod Cooper (2LR)	0	0	1	1	0	1	6%
6	SECC	0	0	3	3	0	3	10%

Item Number	Employer	Host Villages	Workers of Local Provinces (BKX/XSB)	Workers from other Provinces	Total Lao's Female Workers	Total Foreign Female Workers	Grand Total Female Workers	
7	SCS (Soksay Chaluernsap)	0	0	0	0	0	0	0%
8	VRC(Vorarath Road, Bridge and Building Construction Co., Ltd)	0	0	0	0	0	0	0%
9	Bolikhamxay Provincial Irrigation Dept.	0	0	0	0	0	0	0%
10	SES Electrical Installation Co.,Ltd	0	0	0	0	0	0	0%
11	Nalux Contruccion Company	0	0	0	0	0	0	0%
12	Viengoudom xap Construction Company	0	0	0	0	0	0	8%
13	Phoukham Chanvong CC	0	0	0	0	0	0	0%
14	Soudavanh CC	0	0	3	3	0	3	10%
	Total All	39	48	97	184	69	253	
	Total (%)	15%	19%	38%	73%	27%		9%

TABLE 9-4 Safety officers and medical staff for each camp (September, 2016)

Contractors	No. Workers	No. Safety Officers	No. Medical Staff	No. First Aiders
Owner incl. OE	276	1	1	6
Obayashi	143	5	1	8
PKCC	104	0	0	3
Right Tunneling	16	0	0	1
Sino Hydro/TCM Engineering	242	4	0	5
Song Da 5	1612	14	2	25
TCM Engineering	13	0	0	1
V & K	78	0	0	2
GFE	14	0	0	0

Contractors	No. Workers	No. Safety Officers	No. Medical Staff	No. First Aiders
Lao Security Service	8	0	0	0
HM	17	1	0	1
LILAMA10	18	1	0	1
ZHEFU	0	1	0	1
HPC	4	0	0	1
PANO	0	0	0	1
MHT	0	0	0	1
IHI	15	1	0	1
276 MC-JSC	35	1	0	1
Lao Security Service	4	-	-	1
Loxley-SRI	14	1	0	0
RCR	53	1	0	0
Other				
LAO UNEOD COOPER., ltd (2LR)	22	5	1	4
SECC	29	1	0	1
Soksay Chaluernsap (Barge)	5	0	0	0
VRC (Vorarath Road, Bridge and Building Construction Co., Ltd)	2	0	0	0
Bolikhamxay Provincial Irrigation Dept.	2	0	0	0
SES Electrical Installation Co. Ltd	6	0	0	0
Nalux Contraction Company	4	0	0	0
Viengoudomxap Construction Company	8	0	0	0
Phoukham chanvong CC	10	0	0	0
Soudavanh CC	8	0	0	0
Total	2,784	37	5	65

TABLE 9-5 LOCAL WORKERS HIRED BY CONTRACTORS IN THE THIRD QUARTER 2016

Week Ending	Total Workers	No. of Female Workers	No. Workers from Host Villages	No. of Workers in Zone 2 LR	No. of Workers in Zone 2 UR	Other Workers categories
Date						
21 July 2016	21	18	21	0	0	0
26 August 2016	5	0	5	0	0	0

TABLE 9-6 LABOUR COMPLIANCE FOR Q3 , 2016

Date	July	August	September
Number of Injuries	1	4	5
Sick workers transferred to Bolikhamxay Provincial Hospital	0	1	0
Number of labourers of 18 years old or below	0	0	0
Number of non-compliances regarding child labour (younger than 14 years old)	0	0	0
Number of non-compliances regarding forced labour	0	0	0
Workers represented through labour union representatives	5	3	5
Number of labour union representatives	74	48	85

10 CAMP FOLLOWERS

The establishment of a large workforce in the vicinity of the construction site and the villages of Hatsaykham, Hat Gniun and Thahuea gives rise to significant economic opportunities for the local community. It also has the potential for significant disruption. Camp followers have established guesthouses, shops, restaurants, bars and business related facilities at sites designated by GOL, a few kilometres from the main construction sites, workers' camps and truck stop areas. The establishment of a largely mainly male workforce leads to increased risks of the spread of communicable diseases, human trafficking, and social disruption.

The objective of Camp Follower Programme is to avoid adverse impacts from the activities of camp followers and if unavoidable, minimize and mitigate them. To achieve this objective, the following measures are included in the Social Management Action Plan:

- Provide support to GOL including public authorities (such as police) to ensure public safety;
- Conduct a Community Awareness Programme on village security, drug control, Sexual Transmission Disease;
- Enforce compliance of Workers Code of Conduct
- Zoning of Camp Follower businesses

TABLE 10-1 ACHIEVEMENTS IN QUARTER 3, 2016

Activity	Achievements	Number of Participants/ Female	Target schedule
Supported Bolikhan District Police Office to establish a police post in Hat Gniun Village	- Continued support the functional of police post such as operating and transportation cost on a monthly basis to ensure that they patrol the 3 villages regularly.	6/2 GOL staff	Monthly basis
Conducted Sexual Transmittal Disease (STD) awareness campaign	- Conducted Sexually Transmitted Disease (STD) awareness campaign in 8 beer shops at Hat Gniun and Bolikhan.	28/27	Weekly basis
	- Conducted Sexually Transmitted Disease (STD) awareness campaign in	36/1	Quarterly basis

	in HSRA Construction Camps (PEC, Nalak, and Voralath).		
--	--	--	--

TABLE 10-2 SOCIAL ISSUES REPORTED BY POLICE IN QUARTER 3, 2016

Social Issue	July	Aug	Sept	Total
Traffic Accident	1	0	0	1
Theft	3	0	2	5
Gambling	1	0	0	1
Illegal logging	0	5	0	5
Total:	5	5	2	12

11 SOCIAL DEVELOPMENT

The Social Development Plan focuses on several of the key common *issues* for the communities in the project area such as: Education, Health, Gender, Ethnicity and Vulnerable Households.

11.1 Education Promotion

The Resettlement and Ethnic Development Plan states that the Company will establish a scholarship programme where project affected students (Zones 2UR, Zone 2LR, Zone 3 and Zone 5) committing to work in public service (for example as a teacher or in the medical profession) will be eligible for a scholarship awarded for further education. The scholarships have been allocated through a competitive selection process with quotas for gender and ethnicity. In addition, a Non-Formal Education Programme to eradicate illiteracy and a Safety Traffic Programme have been also making good progress. Detailed activities are summarised in Table 11-1.

TABLE 11-1 EDUCATION PROMOTION PROGRAMME

Item No.	Activities	Project Target	Achievement to-date	Percentage of female students	Remark
1	Scholarship Programme for Higher Education	Provide 30 scholarships per year. 40% of scholarships will be reserved for female students and 70% of scholarships are for Hmong students.	<p>To-date 51 scholarships have been provided in 2 provinces. 62% are for Hmong students. 2 students had graduated this year and other 48 students will send their final score/GPA to NNP1PC Education team by September. One student from Ban Piengta studies Agriculture at Bolikhamxay Provincial Agriculture College was suspended her scholarship due to her own reason and violation college' regulation.</p> <p>In June 2016, 73 students from the 3 project districts graduated from high school. Support was provided to these 73 students to attend national level entrance exams required for further education. NNP1PC is awaiting their test results required for their application into the NNP1PC scholarship program for the 2016-2017 academic year.</p>	<p>25% are female students</p> <p>30% are female students</p>	Ongoing
2	Vocational training Program	To increase opportunity and income generation for PAPs.	Vocational training scholarship is provided to 8 PAPs on the topic of motorcycle repair. Training is conducted at the Bolikhamxay Provincial Technical School, starting on 01 September 2016 and completion will be 31 January 2017. After graduation from this vocational training course, each PAP is envisaging to open their own repairing shop in their hometown. Three participants are from Hat Gniun village, three from Thahuea village and two from Pou village.		5 month training
3	Non-formal Education	146 female illiterates out of 204 are targeted	Non-Formal Education in 6 villages is temporarily suspended since June 2016 and will restart again when the cultivation season is over. Currently, the Social Development Team is working with District Education Office	76% are female students	Temporarily stopped. Students are not available to study

Item No.	Activities	Project Target	Achievement to-date	Percentage of female students	Remark
			of Hom District to continue Non-formal Education in Zone 2LR;		during the rice plantation season
4	Safety in Traffic for primary school students living nearby the construction site	A school bus service in 2 villages need to extent contract to support school children and their safety in traffic	No accidents have been reported since started the program. NNP1 is extending student bus contract to provide services to students of Thahuea and Hatsaykham including students of self-resettlement households;	52% are female students	

TABLE 11-2 SCHOLARSHIP AWARD PROGRAMME

Scholarship award sequence number	Start of Academic year	Total number of scholarships awarded	Hmong students (target is 70%)		Female Students (target is 40%)			Graduated Students	
			No.	%	No.	%	Hmong	No.	%
Group 1	Sep 2014-Jun 2015	19	14	73%	6	31%	4	2	10%
Group 2	Sep 2015-Jun 2016	32	18	56%	7	21%	2		
Total		51	32	56%	13	25%	6	2	

Ethnic and gender targets are not yet reached, due to the limited number of Hmong and female students graduating from high school.

11.2 Health

The key Public Health Action Plan consist of 4 main areas as below:

1. Community health in the resettlement area and host villages;
2. Community health in other Project Affected Zones;
3. Capacity building for GOL staff to include village health volunteers, health centres and district health office staff;
4. An integrated plan for management of water, sanitation and a hygiene program which is linked to nutrition;

TABLE 11-3 PROGRESS AND RESULTS OF HEALTH MONITORING

Months	Activity	Total participant in the public health programme supported by Project	Number of female participated in the public health program supported by the Project
July	All Community Led Sanitation activities	253	123
	Health education against common diseases	92	62
	Growth monitoring of children under 5	215	135
August	All community led Sanitation activities	91	46
	Health education against common diseases	155	87
	Growth monitoring of children under 5	164	92
September	All community led Sanitation activities	0	0
	Health education against common diseases	88	49
	Growth monitoring of children under 5	0	0

The project supports a wide range of activities, including PAPs accessing health services through the health outreach program from the Houay Koun health centre, children's vaccination, participating in the CLTS program and logistic and financial support for vulnerable households: refer the patient to the nearby hospital by the NN1PC car and follow up the case by our staff.

11.2.1 Health programme for resettled and host communities (zone 3 and 5)

To prepare for the HSRA health programme, NNP1PC provided technical inputs to the architectural design of the Houay Soup Health Centre. The design has been made in consultation with the Provincial Health Office. Meanwhile, essential drugs and medical equipment are also listed for procurement. While waiting for the Health Centre to be constructed and become functional, the Huykhoun Health Centre provides routine services in the 3 villages as Hatsaykham, Hat Gniun and Thahuea. Outreach service consists of routine maternity and child health services, health education and medical checks. NNP1PC has monitored key diseases that may be caused by the construction activities. To-date, no relevant diseases were recorded.

Key achievement for Resettlement of Hatsaykham included - as required by the Concession Agreement - completion of health checks of PAPs in Hatsaykham before resettlement. Due to the date of resettlement to HSRA has been changed, NNP1PC will conduct another round in September 2016 to ensure that the pre-resettlement health check is in line with the obligations in the Concession Agreement.

11.2.2 Community health in other Project Affected Zones

TABLE 11-4 CHECKING ON GOL SENTINEL SYSTEM ON PATIENTS POSSIBLY INDUCED BY PROJECT ACTIVITIES

Health Center	Number of outpatient department cases (time/person)	Number of Referred cases (person)	Number of beneficiaries under outreach services (time/person)	Cases potentially induced by project
Piengta	182	0	64	0
Huykhoun	375	13	115	0
Sopyouak	282	1	85	0

11.2.3 Integrated Plan for Management of Water, Sanitation and Hygiene Program

District health staff from both Bolikhan and Thathom Districts, supported by staff from Rural Development Agency (RDA) conducted the post triggering (Community Mobilisation) evaluation in the Z3, Z5 and 2UR to promote the access and use latrines of latrines. In parallel, nutrition activity such as Nutrition Education, Nutrition Counselling, Cooking Demonstration and Growth Monitoring were provided in the same areas. The evaluation indicated that 43 households out of 172 households do not yet have household pit latrines.

11.2.4 Capacity building for GOL staff

Key achievements in this quarter include:

- Performance evaluation of Village Health Volunteers by the District Health Department and Village Authorities. Most of them performed satisfactory.

There was no training during this quarter.

11.3 Gender and Ethnic Minorities

The Concession Agreement, Annex C Clause 89 c xxiii states that the Company shall recognize and respect traditional organizational structures, religious beliefs and resource uses, and Clause 89 c xxxi stipulates that the Company shall promote gender equity and include women in Project activities as described in the Social Development Plan (SDP).

The Company's key commitments in terms of gender issues are described in the Gender Action Plan of the Social Development Plan and in the updated REDPs for Zone 3, 5, 2LR and 2UR.

The Company's commitments in terms of ethnic group promotion are described in the Ethnic Development Plan, and the more specific activities regarding the community cultures are described in the Social Development Plan "the Cultural Heritage/Preservation Action Plan".

Gender and Ethnic program 2016 consists of:

1. Village Level Workshops on Gender Roles for PAP in Zone 3, 5, 2UR and 2LR
2. Gender Baseline Survey Zone 2UR, 2LR, 3 and 5
3. Internal Company Training Program
4. Ensure gender disaggregated in company data and the gender responsive in all company matters.
5. Specific activities to promote community cultures.

Achievement in the quarter, (Q2) 2016:

11.4 Promote gender equality

Institutional Level

Company staffs have been trained on gender responsive planning by the Lao Women Union from the Central Level. The staffs have a better understanding on gender value in project activities and resettlement.

Zone 3 and Zone 5

- A consultation meeting was conducted in Hatsaykham to explore women’s concerns in relation to the preparation of Houay Soup resettlement, 19 women participated. Key findings are related to housing, basic services, security and livelihoods. Team have informed them that all concerns are included in the resettlement, livelihoods and social development plan.
- Second round of Gender Awareness Training was conducted with 98 PAP (66 females) from Zone 3. This training was conducted between 11 August and 15 August 2016.

FIGURE 11. SECOND ROUND OF GENDER TRAINING IN ZONE 3 AND 5 (11- 15 AUGUST 2016)



Zone 2LR

- Second round of Gender Awareness Training was conducted with 167 PAP (100 females) from Zone 2LR. This training was conducted between 4 - 7 August 2016

● FIGURE 12. SECOND ROUND OF GENDER TRAINING IN ZONE 2LR (4- 7 AUGUST 2016)



Zone 2UR

- Second round of Gender Awareness Training was conducted with 134 PAP (67 females) from Zone 2UR. This training was conducted between 25 - 27 August 2016.
- FIGURE 13 SECOND ROUND OF GENDER TRAINING IN ZONE 2UR (25- 27 AUGUST 2016)



11.5 Promote ethnicity program

Zone 3

Cultural Heritage/Preservation Activities	Status
Write Hatsaykham culture book	The activity is nearly completed. Currently, the book was sent to the Editing Committee for their inputs.
Cultural Video Production	The contract was signed between the NNP1PC and Consultant. The team start filming at Hatsaykham on 23 rd September. The product is waiting for final stage as inputs of the NNP1PC and interview of the Management section.
Collection of Cultural Artefacts for use in the cultural display in the HSRA.	In working closely with the Elderly Committee, the team start the collection of Cultural Artefacts. As a result 5 exceptional items were collected and kept at the village authorities. These are agriculture and household tools such as handy sickle, bamboo basket to filter the seeds and cereals, metal bowl, music instrument (Hmong flute) and spinning toys.

12 VULNERABLE HOUSEHOLDS PROGRAMME

The Concession Agreement, Annex C, Clause 87 a. xi requires the Company to implement special and effective measures for ethnic groups and vulnerable groups to ensure that their particular needs are fully addressed, their self-reliance is enhanced, and their socio-economic status is significantly improved within the resettlement period.

Vulnerable households were identified using data collected in the baseline socio-economic survey in conjunction with community input, and key stakeholder interviews.

TABLE 12-1 VULNERABLE HOUSEHOLDS SEPTEMBER 2016

Zone	Zone 3	Zone 5	Zone 2LR	Zone 2UR	Total
Female household head	1	1	7	3	12
Household head > 60 years	0	0	6	3	9
Household head < 16 years	0	0	0	0	0
Household head is disabled	0	0	4	2	6
Household with physical disabled person	1	2	13	7	23
Head of household is mentally disabled person	0	0	5	0	5
Household with mentally disabled person	1	2	10	5	18
Single member household	1	0	1	0	2
Households living below the poverty line	3	0	13	6	22
Landless households with no alternative income	0	0	0	0	0
Total	7	5	59	26	97

Key achievements included:

- Support 2 vulnerable households was provided for them to seek medical treatment.
- Modification of the house in the HSRA for the household with a person using a wheelchair is completed. Light switches are at the appropriate height, doors are 100 cm wide, an access ramp is built from the house to the toilet building and support is installed in the toilet and shower facilities.

FIGURE 14 MODIFICATIONS MADE TO THE HOUSE FOR USE BY THE PERSON LIVING IN A WHEELCHAIR



13 LIVELIHOOD RESTORATION

The Concession Agreement, Annex C, Clause 87 requires the Company to assist PAP to regain, maintain and improve their net incomes and living standards beyond the pre-Project levels, and ensure that PAP are in no significant aspect of their lives and livelihoods worse off than they would have been without the Project.

During the first quarter of 2016, NNP1PC achieved progress on the following livelihood activities:

- Zone 3 (Hatsaykham) implemented 7 livelihood projects
- Zone 5 (Host Villages) implemented 5 projects
- Zone 2LR – implemented 1 project (Animal health care activity)

13.1 Livelihood Restoration in Zones 3, Zone 5 and Zone 2LR

The overall progress of the livelihood programmes in Zones 3, Zone 5 and Zone 2LR is summarized Table 13-1.

TABLE 13-1 SUMMARY OF PROGRESS FOR LIVELIHOOD RESTORATION IN ZONE 2LR, ZONE 3 AND ZONE 5

Project	Planned for Q3 as a % of Entire Process	Actual Implementation for Q3 as a % of Entire Process	Overall Progress by Activity Q3 as a % of Entire Process	Key Achievement in Q3 2016
Livelihood Activities for Zone 3				

Project	Planned for Q3 as a % of Entire Process	Actual Implementation for Q3 Q3 as a % of Entire Process	Overall Progress by Activity Q3 as a % of Entire Process	Key Achievement in Q3 2016
Project 1: Soil Improvement: produce 100 tons of compost for improving Hatsaykham paddy fields of 10.5 ha. and rice planting	5%	17%	89 %	<ul style="list-style-type: none"> Continued providing technical support to and coaching of farmers particularly on paddy management, weeding, pest control and management; and pumping water to the rice field; One additional Watergate was constructed along main canal water is flowing and irrigated paddy field
Project 2: Cash crop promotion in Zones 3 & 5 (New cash crop land of Hatsaykham of 20 ha for 23 households): banana & sweet corn	5%	18%	78%	<ul style="list-style-type: none"> Follow up on the installation of fencing for cash crop plantation land by the Resettlers. A total of 19 households participate in the fence preparation Continued providing technical support to and coaching of farmers on weed control
Project 3: Promotion of fruit tree plantation in new cash crop land in HSRA for Hatsaykham	15%	9%	86%	<ul style="list-style-type: none"> Follow up on the installation of fencing for fruit tree plantation land by the Resettlers. A total of 17 households participate in the fence preparation
Project 4: 40 ha grazing land development in HSRA for Hatsaykham	9%	0%	70%	<ul style="list-style-type: none"> Engage villager to prepare material for livestock pen construction in new resettlement village. 8 households have ready to prepared material for construction pig pen in HS resettlement village will be transport after bridge construct completed.
Cross-cutting livelihood activities for Zone 3 and Zone 5 and Zone 2LR				
Project 5: Promotion of crop	0	0	100%	No action taken for this activity as it was completed in May 2016. The activity will

Project	Planned for Q3 as a % of Entire Process	Actual Implementation for Q3 Q3 as a % of Entire Process	Overall Progress by Activity Q3 as a % of Entire Process	Key Achievement in Q3 2016
production in Zone 5				restart again in the next dry season in November 2016
Project 6: Animal health care activity (Zones 3-5 & Zone 2LR)	10%	25%	80%	<ul style="list-style-type: none"> ▪ 23 households of PAP have been introduced to bookkeeping for husbandry. The book will be kept to record status of animal vaccination, new borne, sale and conditions of the animals; ▪ Monitored the collection of fodder for animal feed in Zone 2LR, Z3 & Z5, with a total of 15 households. Fodder collection included: Stylo Santhes 3,72 tons; Paspalum 6,02 tons and Kenee 7,49ton
Project 7: Promote (1) various type of fish culturing in cages at Zone 5 and (2) fish culturing with integrated farming Zone 3-5	5%	14 %	74%	<ul style="list-style-type: none"> ▪ Most participating members are selling fish to markets (Owner Base Camp) and contractors of the NNP1 Project and local people. Now, fish from the supported farmers are well known by the local market. ▪ The boat racing festivals in Thahuea and Hat Gniun proved a good opportunity for the sale of fish, at total of 300 kg was sold at a price of 30,000 LAK/kg, which is above the normal price of 20,000 LAK/kg. ▪ Average weight for different species of fishes are as follow: <ul style="list-style-type: none"> ○ Tilapia – 700 g /fish/for 4 month ○ Catfish - 300g /fish for 4 months; ○ Stucchi catfish - 600g/fish for 4 months ▪ Fish prices at farm gate: tilapia – LAK 20,000 /kg, cat fish – LAK 18,000/kg
Project 8: Promote off farm activities - Bamboo handicraft and weaving (Zone 3-5)	0%	19%	69%	<ul style="list-style-type: none"> ▪ The activity includes: (1) bamboo handicraft with 12 participating households, (2) weaving with 4 households, (3) Charcoal production with 1 household and (4) bamboo processing with 10 households. ▪ At Zone 3-5, the 18 members of the bamboo processing group completed the canned and fermented bamboo activity (the seasonal production is finished). A total of 1,371 kg of bamboo shoots where canned into 80 cans (12kg/can).

Project	Planned for Q3 as a % of Entire Process	Actual Implementation for Q3 as a % of Entire Process	Overall Progress by Activity Q3 as a % of Entire Process	Key Achievement in Q3 2016
Project 9: Promote NTFP/forest management activity (Zone 5)	15%	24%	87%	<ul style="list-style-type: none"> ▪ Follow up with the households on the management of the rattan plantations, including weeding.
Project 10: Setting up financial monitoring books (Zone 3-5)	15%	39%	89%	<p>The activity is implemented by 80 households in Hatsaykham, Hat Gniun and Thahuea. Activities mobilized in this Quarter include:</p> <ul style="list-style-type: none"> ▪ Preparing family books for all households from Hatsaykham; ▪ Monitoring household is maintaining bookkeeping in 3 villages Hatsaykham, Hat Gniun, Thahuea Villages and support households for data entry; ▪ Conducting workshop to assess/evaluate the progress of bookkeeping at family level. Out of 87 households who participated in the workshop, it is found that: <ul style="list-style-type: none"> • 23 families are maintaining daily record, • 30 families are maintaining some record • 34 families have no record ▪ Completed data entry into database system ▪ Summary expenditures of 3 livelihood activities of 2016 into family book account
Feasibility study for tourism development	5%	20%	25%	<p>Contacted GIZ in Bualapha District, Khamouane Province, to discuss and exchange lesson learned from their Hin-Nam-Nor Tourism Project. This is a step into exploring the tourism potential of the Houay Soup Resettlement Area.</p>
Support Self-Re-settlers with the preparation of Livelihood Plans as part of the Self-	15%	25	30%	<p>Supported households in 2LR who during the final choice survey indicated that they want to self-resettle with the preparation of their own livelihood plan, which is part of their Self-Resettlement Plan.</p>

Project	Planned for Q3 as a % of Entire Process	Actual Implementation for Q3 as a % of Entire Process	Overall Progress by Activity Q3 as a % of Entire Process	Key Achievement in Q3 2016
Resettlement Plan				

13.2 Livelihood Restoration in Zone 2UR

The livelihood development for Zone 2UR villages including Ban Pou, Hatsamkhone and Piengta focuses on:

(1) Paddy rice production for increasing rice yield through better production techniques, (2) promotion of cash cropping (3) cattle fattening activity, (4) pig raising activity, (5) poultry, (6) fish raising, (7) integrated farming systems (vegetable and pig raising) and (8) weaving activity. A total of 61 pilot households have joined the livelihood activities and received technical and material support from NNP1-PC. The status of these livelihood activities in 2UR are summarized in the table below.

TABLE 13-2 PROGRESS ON LIVELIHOOD RESTORATION IN 2UR

Project	Planned for Q3 2016 (Percentage of Entire Process)	Actual Implementation for Q3 2016 (Percentage of Entire Process)	Overall Progress for Q3 2016 (Percentage of Entire Process)	Key achievement in Q3 of 2016
Paddy rice production: Support for increasing rice yield through production techniques and improving seed variety. 10 households from 3 villages join the activity	5%	30%	70%	<ul style="list-style-type: none"> ▪ Monitoring and providing technical support on rice management, including but not limited to weeding, fertilizer application and pest control to farmers.
Cattle fattening. 6 households participate in the activity. Expect to increase income by LAK 2 million within 4 months	13%	22%	67%	<ul style="list-style-type: none"> ▪ Continue monitoring and providing technical advices to the farmers; ▪ Organized on the job training on cattle fattening techniques and feed preparation; ▪ Provide market information to farmer for selling the cattle

Pig raising. 6 households from Hatsamkhone participate in the activity. Expect to increase income of LAK 1.5 million/5 months	10%	31%	74%	<ul style="list-style-type: none"> ▪ Completed chicks provision to all activity participants;
Poultry raising 6 households from Piengta participate in this activity. Expectation – LAK 1,5 million of income within 4 months	8%	35%	77%	<ul style="list-style-type: none"> ▪ Organized on the job training on chicken raising techniques, management including vaccination and feed processing from local resources. ▪ Provide market information to the activity participants
Fish culture in pond 3 households participate in this activity.	20%	15%	70%	<ul style="list-style-type: none"> ▪ Continue follow-up on the growth of the fish and providing technical support to participating households ▪ Provide market information to the activity participants
Integrated farming system: fish + pig raising and vegetable production. 6 households participate in this activity	15%	30%	77%	<ul style="list-style-type: none"> ▪ Continue monitoring and providing technical advices to activity participants ▪ Provide market information
Weaving. 15 households participate in this activity.	3%	6%	70%	<ul style="list-style-type: none"> ▪ Continue monitoring and providing advices to activity participants; ▪ Supported in maintaining family accounting book; ▪ Supported collecting group products ▪ Provide market information to group participants
Cash crop/Vegetable production: participants – 2 households, expected income – LAK 1.8 million /season	15%	8%	70%	<ul style="list-style-type: none"> ▪ Conducted an economic and commercial assessment with the participants ▪ Produce activity report ▪ Planning for the next season

FIGURE 15 - PADDY RICE FIELDS WITH EXPERIMENTAL RICE VARIETY (KAO KAY NOY), ZONE 2UR (SEPTEMBER 2016)





13.3 Issues, Constraints and Solutions – Livelihood Restoration

Issue and Constraint	Solution
Market issue for agriculture and off-farm products	<ul style="list-style-type: none"> - Careful study on previous experience and make sure that market available before promoting activity to PAP. - Enhance connection and linkage with market outside Thathom District
Smallholder and domestic production	<ul style="list-style-type: none"> - Promote processing, commodity production or commercialization in all potential areas
High dependency of PAPs to NNP1 project	<ul style="list-style-type: none"> - Promote high participation of PAP into each activity and set up as pre-condition for selecting participants

14 SOCIAL AND ECONOMIC MONITORING

14.1 Socio Economic Monitoring

The monitoring programme has two main components:

- i. Ongoing Socio Economic Monitoring Programme which consists of a series of small scale surveys and monitoring activities designed to identify emerging socio-economic issues and track household well-being in the short-term.
- ii. Biennial Socio Economic Survey – is a detailed and large scale household survey (>1400 households) undertaken every two years by external contractors to evaluate household incomes and well-being in accordance with CA requirements. The second survey is due to be undertaken in late 2016.

14.2 OSEM

- OSEM-3 data collection completed in Zone 2UR where 145 households were interviewed. Preparations are ongoing to implement data collection in the other zones
- Ongoing data analysis and reporting of OSEM-2 data, combined with the OSEM-1 statistics, by the International Consultant

14.3 Biennial Socio Economic Survey 2016

- Complete the Questionnaire and household lists for Biennial Socio-Economic Survey
- Ongoing tendering process to contract a Consulting firm for data collection.

14.4 Business Income Survey

- Completed data collection from a total of 51 shops in Zone 2LR and 2UR to gain better insight in the type and operation of shops in the project area.

Issue

- Business owners do not keep records of the buying price and sales price, which can vary by the amount of discount an individual buyer can negotiate, making the estimation of profits complicated.

14.5 Fish Catch Monitoring

The Concession Agreement requires the Company to establish fish catch baselines and to “Measures to mitigate impacts on livelihoods of upstream and downstream communities due to loss of fisheries and biodiversity with respect to both the construction phase and the operational phase of the Project;”

In order to meet these obligations, a clear baseline is required, to establish the fish catch prior to operation of the dam and compare this to the fish catch during operation.

Achievements so far

- Fish catch monitoring programme is established and data collection is on-going
- Household catch assessment survey was conducted with a target of 121 households in April and June.
- Daily catch logbook verification survey was conducted with a target of 144 households in May.

Activity of this quarter are summarized in the table below.

TABLE 14-1 ACTIVITIES OF THE FISH CATCH MONITORING TEAM FOR Q3 2016.

No	Activity	Progress	Status
1	Collected daily catch logbook survey	11,855 forms	Data from this ongoing continues monthly survey is analysed on an annual basis. A summary of the results of the first year of data collection will be reported in Q4 of 2016.
2	Conducted household catch assessment survey	121 forms	Data from this ongoing continues survey is analysed on an annual basis. A summary of the of the first year of data collection will be reported in Q4 of 2016
3	Conducted daily catch logbook verification survey.	288 forms	Data from this ongoing continues survey is analysed on an annual basis. A summary of the of the first year of data collection will be reported in Q3 of 2016
4	QC for data collected of three surveys		Most data was acceptable, with several clarification requested.
5	Conducted gillnet sampling survey with the EMO and Fish-Bio	22-30 August	Data from this survey is reported by the EMO
6	Conducted fish spawning site survey in Nam Ngiep basin	No activity was scheduled for Q3 2016	Data from this survey is analysed together with other fisheries data for the annual fisheries assessment. The results of the first year of fisheries data collection will be reported in Q4 of 2016
7	Conducted the village community interview	3 villages	Data from this survey is analysed together with other fisheries data for the annual fisheries assessment in mid-2017.

Next quarterly activities include:

- Monitor and data collection for daily catch logbook survey
- Conduct household catch assessment survey for round #10 and household catch exit interview(October)
- Conduct daily catch verification survey for round # 5 (November)
- Continue QC Fish catch monitoring form filling and collection
- Continue conduct the village community interview

APPENDIX

Appendix 1. PRLRC Addendum No 792 dated 20 July 2016.

Appendix 2. PRLRC Instruction 917 dated 05 September 2016 on Self-Resettlement.