

LAO PEOPLE'S DEMOCRATIC REPUBLIC  
PEACE INDEPENDENCE DEMOCRACY UNITY PROSPERITY

**MEKONG-INTERGRATED WATER RESOURCES MANAGEMENT PROJECT**

**COMPONENT 3.2: FISHERIES MANAGEMENT**

**GUIDELINES ON THE IMPLEMENTATION  
OF RURAL INFRASTRUCTURE INVESTMENT**

**March 9, 2017**

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## Abbreviations and Acronyms

C3.2	Component 3.2
CRPF	Compensation and Resettlement Policy Framework
DAFO	District Agriculture and Forestry Office
DONRE	District Office of Natural Resources and Environment
DLF	Department of Livestock and Fisheries
EG	Ethnic Groups
EGPF	Ethnic Groups Development Framework
EGP	Ethnic Group Plan
ESMF	Environment and Social Management Framework
FCZ	Fishery Conservation Zone
FMC	Fishery Management Committee
FMP	Fishery Management Plan
FRIC	Free, prior, and informed consultation
IIP	Investment Implementation Plan
IWRM	Integrated Water Resources Management
KPC	kum banh Procurement Committee
LFNC	Lao Font for National Construction
LWU	Lao Women Union
M&E	Monitoring and Evaluation
M-IWRM	Mekong Integrated Water Resources Management
MoNRE	Ministry of Natural Resources and Environment
O&M	Operation and Maintenance
OP/BP	Operation policy/Bank Procedure (of WB)
PAD	Project Appraisal Document
PDO	Project Development Objective
PMU	Project Management Unit
PONRE	Provincial Office of Natural Resources and Environment
RAP	Resettlement Action Plan
UXO	Unexploded Ordnance
WB	World Bank

## 1 Introduction

The objective of the World Bank-funded Mekong Integrated Water Resources Management Project – Phase 1 (M-IWRMP-1) is to establish key examples of integrated water resource management practices in the Lower Mekong Basin at regional, national, and sub-national levels, thus contributing to more sustainable river basin development in the lower Mekong. Sub-Component 3.2 of the Project provides support for improved management of aquatic resources in the mainstream Mekong and the Sekong River (located in southern Lao PDR). It aims to establish effective fisheries co-management in regionally significant habitats by:

- Supporting fishing communities in selected kum banhs (village clusters) to establish Fisheries Management Committees (FMCs), and to prepare and implement fishery management plans,
- Supporting alternative livelihoods and rural infrastructure investments in the selected kum banh, and
- Strengthening the capacity of the public sector, particularly in the Provincial Agriculture and Forestry Office (PAFO) and the District Agriculture and Forestry Office (DAFO), to support community based fisheries management, and to supply fingerlings for wild stock enhancement and aquaculture in the project area.

This document contains guidelines for identifying and administering **rural infrastructure investments** in the selected kum banh that comply with the World Bank’s procurement, financial management, and social and environmental safeguards instruments.

Section II describes investments that are eligible for funding. Section III describes the planning and consultation process, while Section IV describes financial management and procurement. Section V describes safeguard requirements. Annexes provide pro-formas and additional information on these aspects.

### 1.1 Eligibility

Eligible infrastructure investments are listed in (Table 1).

Table 1 Eligible infrastructure investments

<b>Investment Category</b>	<b>Eligible</b>	<b>Non-Eligible</b>
Access and Transport	Bridges, footpaths, tracks, culverts, ramps, piers, road repairs and up-grading.	New roads and road surfacing/sealing, including road widening
Water systems	Wells, gravity water supply, small weirs, ponds...etc.	Piped household water hookups
Community Irrigation and Drainage	Weirs, canals, bunds, gates, spillways, and other structures.	Electrical pumps

Markets, community halls, and sanitation	Buildings, drainage, latrines, wells, and furnishings.	Generators
Health post or clinic and sanitation facilities	Building, furniture, latrine, medical equipment supplies.	Vaccines and other forms of medicines, payments of salaries to government servants or the salaries of the staff of government subsidized organizations.
Schools, nurseries and sanitation facilities	Buildings, latrine, school supplies, school equipment and furniture.	Payments of salaries to government servants or the salaries of the staff of government subsidized organizations
Community electrical supply	Mini-hydro generator, wiring.	Gasoline or diesel generators.

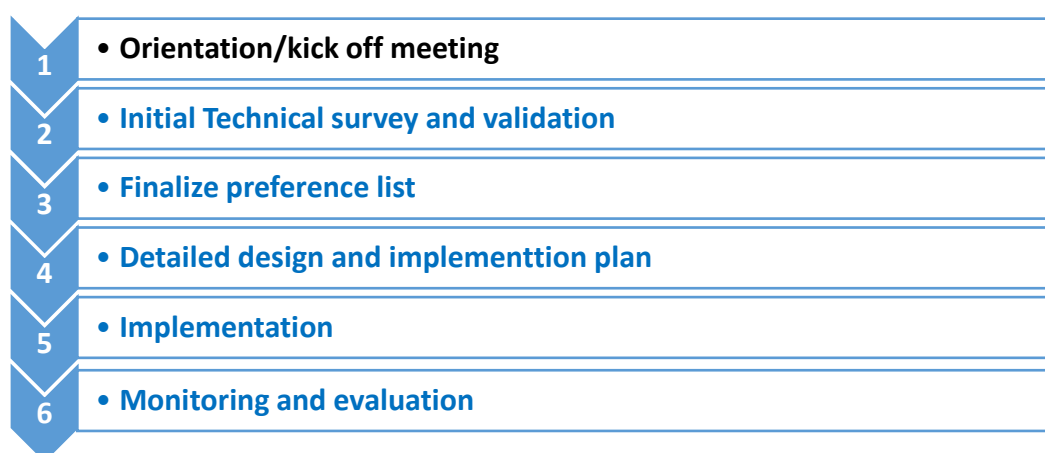
## 1.2 Financing

From the consultations and participatory process, it is expected that each village within a kum banh will receive a maximum of \$4,000 worth of goods for the construction or rehabilitation of rural infrastructure, with a maximum total allocation of \$40,000 per kum banh.

## 2 Infrastructure investment identification and administration

### 2.1 Identification and administration

The identification and administration of the rural infrastructure invest follows the following 6 steps (Figure 1).



**Step 1: Orientation/kick-off meeting:** A meeting will be organized by **C3.2** technical team members, hosted by **PAFO**, and attended by **DAFO** staff and kum banh, village and ethnic group leaders and the elected kum banh Fisheries Management Committee (FMC). The meeting is intended to inform beneficiaries about the available project support and process, identify priority investments (termed “preference list”) and raise awareness of the relevant

safeguard policies (see Section V and Annex 4). Step 1 will generate a “preference list” for each village and minutes of the meeting.

**Step 2: Initial technical survey and validation:** The project technical team will work with **PAFO and DAFO**, and other relevant government agencies, to undertake a field assessment and screen the preferred investments to ensure they are eligible for funding in accordance with Table 1 and the safeguards described Annex 4. Any related investments carried out by other organizations in the areas will be also documented.

Details of the eligible preferred investments will be presented to kum banh, village and ethnic group leaders, the elected kum banh Fisheries Management Committee (FMC), and the wider community for final selection and approval.

### ***Safeguards***

Consultation is considered an integral part of the planning and decision making process. Consultation with and active participation of women is an important element of IWRM process while consultation with ethnic groups in the proposed project area should be undertaken in accordance with the Ethnic Groups Planning Framework (EGPF). The C3.2 team will make every effort to ensure that the most vulnerable groups of the community (including single headed households, ethnic groups, households with disabled people, landless households, and adolescents) have an opportunity to participate during the consultations.

All the voices and/or concerns expressed by the participants especially women and the vulnerable groups will be documented and reflected in the preference list of investments. Investments in rural infrastructure should be selected to benefit all community members, and, in the case of ethnic groups, designed in a culturally appropriately manner.

More detailed guidelines for these consultation activities are provided in Annex 3. To meet the relevant safeguard requirements, the project will report the minutes of the consultation minutes and complete the proformas included in Annex 2.

Step 2 will generate, for each kum banh, a completed investment screening form (Annex 5), completed consultation forms (Annex 2), minutes of the consultation meetings, and the agreed list of eligible investments.

**Step 3: Finalization of preference list:** The C3.2 technical team will submit the investment proposals for approval by the C3.2 manager. The C3.2 manager will then forward an investment clearance form (Annex 6) to the Director General of the Department of Livestock and Fisheries (DLF) for final approval.

**Step 4: Preparation of detail design and implementation plan:** The C3.2 technical team will prepare an investment implementation plan (IIP) that includes any technical designs, materials list and costs, implementation arrangements, and a schedule for the works. The IIP will be reviewed and approved by the C3.2 manager and will be supported by minutes of relevant meetings with the investment beneficiaries.

**Step 5: Implementation:** The C3.2 team will help the community to organize a construction committee to oversee the delivery of the investment. It will procure the materials required for the investments on behalf of the recipient community. Construction labor will be provided by the community. The C3.2 engineering team will oversee construction activities and ensure that ECOP are followed in accordance with the ESMF especially those related to waste generation and disposal, safety, and the use of toxic substances. The engineering team will also check for safety regarding UXO in the proposed area to ensure safety during implementation. Implementation is expected to take no more than three months to complete and will culminate in a Completion Report.

**Step 6: Monitoring and follow-up**

Table 2 below lists the required documentation that should be prepared (and filed at the CMU office) for each of the five steps described above.

**Table 2 Supporting Documentation for the Rural Infrastructure Investment Activity**

Stages	Require Documentation
<b>1. Orientation/kick off meeting</b>	<ul style="list-style-type: none"> <li>• Preference list.</li> <li>• Minutes of meetings.</li> </ul>
<b>2. Initial technical survey and validation</b>	<ul style="list-style-type: none"> <li>• Screening checklist form (Annex 5).</li> <li>• Community Consultation forms (Annex 2).</li> <li>• Agreed and eligible preference list.</li> <li>• Minutes of meetings.</li> </ul>
<b>3. Finalization of investment list</b>	<ul style="list-style-type: none"> <li>• Investment clearance form (Annex 6).</li> </ul>
<b>4. Preparation of detail design and implementation plan</b>	<ul style="list-style-type: none"> <li>• IIP</li> <li>• Meeting minutes</li> </ul>
<b>5. Implementation</b>	<ul style="list-style-type: none"> <li>• Completion Report.</li> </ul>

## 2.2 Financial Procedures

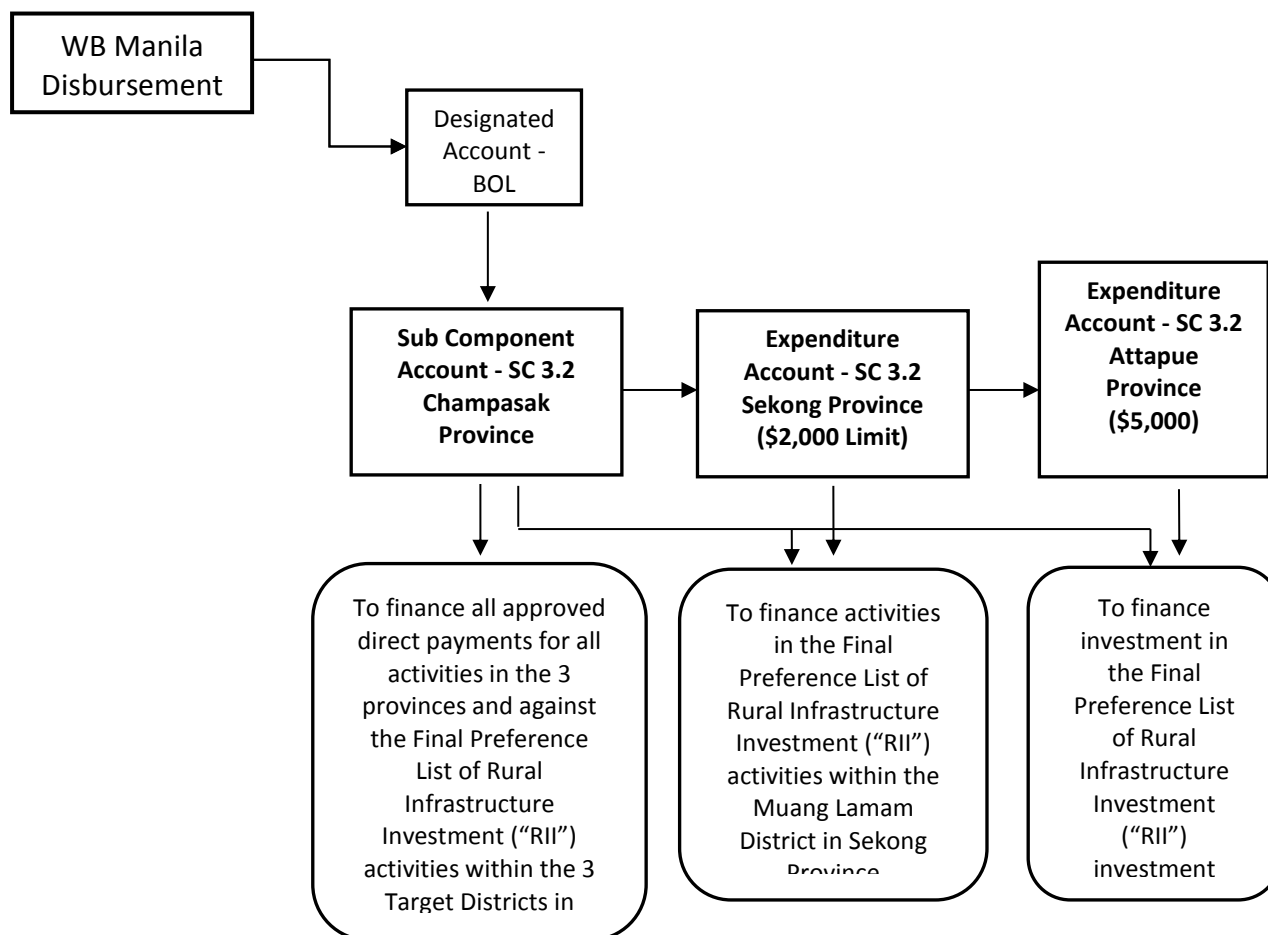
The financial procedures **Rural Infrastructure Investment** are described below.

### 2.2.1 The budget identification for Rural Infrastructure Investment (RII) as follows:

**Table 3 Estimated budget**

Target Province	Target Districts	Total Estimated Budget	TOTAL Budget
		per KFMCs USD	USD
Champasak	Khong	40,000	120,000
	Xana Soumboun	40,000	120,000
	Pathumphone	40,000	120,000
Xekong	Muang Lamam	40,000	120,000
Attapue	Sanamxay	40,000	120,000
<b>Grand Total Budget</b>			<b>600,000</b>

## 2.2.2 Funds Flow Overview



- Financial Management developed for the SC3.2 - small rural infrastructure investment, in consultation with the WB FM Specialist, mainly focuses on channeling funds initially allocated to the Sub Component 3.2 to finance smaller infrastructure projects within its jurisdiction and the approved annual work-plan specifically directed towards targeted districts and villages.
- World Bank account in Manila replenishes the Project's main Designated Account ("DA") in the Bank of Lao PDR (BOL) and in turn replenishes the Component Account ("CA") of SC 3.2 in BCEL Champasak.
- Funds will be allocated from this CA to finance all the small rural infrastructure investment ("RII") in the three target provinces of Champasak, Sekong and Attapue.
- All procurement decisions will be carried out in Champasak Project office and upon approval funds will be withdrawn from the Component account in Champasak and paid directly to suppliers in Champasak, Sekong and Attapue. If need be, some of the procurement meetings can be also held in Sekong & Attapue with close supervision from procurement/management team in Champasak
- In some instances, funds may be also transferred to Sekong & Attapue Project Offices expenditure account to pay smaller payments to suppliers who are engaged there.
- Farmers in villages within the target areas and target districts will **not** receive money from the Project to buy goods and/or materials for civil works. In return all purchases



will be made in the designated Project offices in Champasak or in Sekong & Attapue (if deemed appropriate) and the villages will be the recipient of the actual goods and/or materials for civil works purchased in accordance to the approved PL.

- The total investment amount allocated to the Rural Infrastructure Investment is estimated to be around US\$ 600,000.

### **2.2.3 Funds Flow - Operations**

Before funds can be channeled to the target infrastructure investment the following must be completed as follows:

- A copy of all the minutes of meetings with the community to finalize the Preference List (“PL”) to be submitted to the Sub Component Financial Management Unit (“SCFMU”);
- A final signed copy of the Preference List (“PL”) categorized by provinces and districts to be submitted to the SCFMU for recording and obtaining SC Manager approval;
- Individual budgets associated with the infrastructure investment to be finalized and given to the SCFMU for review of accuracy, completeness and to ensure that the activity is in the PL approved by the SC Manager
- If quotations (3 minimum) are submitted, then these quotations are matched with the general prevailing prices of that product/goods/materials to ensure that the quotations are reasonable and if the KFMC does not select the quotation with the lowest cost, a written explanation is needed as to why a particular supplier is chosen and to be approved by the SC Manager
- Upon receiving the official invoice from the desired supplier, funds will be transmitted either directly to the suppliers’ bank account or given to supplier via cheque payments.
- Upon payment, Supplier to complement with an Official Receipt. A distribution list (to ensure the goods/materials/products has reached its desired destination should be received by the SCFMU submitted either by the Supplier or the designated KFMC member.

### **2.2.4 Funds Flow – Required Supporting Documentation**

As follows:

- Minutes of Meeting on finalizing the PL and other matters
- PL
- Budgets and other documents (like supplier quotations) for the investment in the PL
- Official Invoice
- Official Receipt
- Distribution List
- Progress reports on invoices where multi-payments are involved (if applicable)

## **2.3 Procurement**

### **2.3.1 Principles of Procurement**

Given the nature and the type of projects that the C3.2 intends to support, the value of the individual project will have an estimated allocation cost of around \$4,000 per village and estimated cost allocation of \$40,000 per Kum banh. The application of International Competitive Bidding and National Competitive Bidding procedures are not anticipated due to the size and scope of the procurement. The government standard request for quotations for shopping of works and goods and the standard bidding documents included in of the Government Procurement of Goods, Construction, Maintenance and Services, 03/PM dated January 9, 2004, and the Implementing Rules and Regulations on Government Procurement of Goods, Works, Maintenance and Services dated March 12, 2004, as well as the amendment No. 0861/MOF, dated 05 May 2009 will be used. Three main principles apply to the procurement process:

- Procurement of works, goods and services is carried out in the most transparent, efficient and most economical way possible;
- Suppliers and contractors are given adequate opportunity to participate in the procurement process under conditions of fairness and equality;
- The result of the procurement is made public.

Transparency is very important in the procurement process. Transparency means not only that correct procedures are followed, but that everybody can see and know for sure that correct procedures are followed.

### **2.3.2 Roles and Responsibilities of C3.2 Procurement Team and Kum banh Procurement Committee**

The C3.2 Procurement team and kum banh Procurement Committee (KPC) must:

- solicit proposals from as many qualified bidders as possible (five to six in general), in order to ensure they receive at least three proposals from which to choose from, and in addition,
- make a public announcement inviting any other interested contractors/suppliers to participate and submit proposals. This public announcement will be posted in at least three prominent places, in the community, district and province to ensure that information inviting proposals is widely disseminated. Where this is not expensive, the C3.2 Procurement team and KPC can also advertise in other media available in the province. The evaluation report should include the details on places where the announcement was posted. At least 15 days from the date of invitation for quotations (or the date of advertisement quotations if applicable) shall be provided to prospective bidders to prepare their quotations.
- open quotations in public immediately after the closing date of submission of quotations and in the presence of community members and bidders who chose to attend the quotations opening meeting ceremony. As a general rule, the supplier or contractor who offers the lowest price and meet the required specifications and qualification requirement specified in the bidding documents will be awarded the contract. The award and amount of the contract should be announced to all bidders and public in where and if the advertisements/ invitations for quotations were

posted.

### **2.3.3 Methods of Procurement**

Procurement of other small civil works (small scale infrastructure): It is expected that the investment value of each individual village will have an estimated cost allocation of \$4,000 per village. Should a number of villages (Kumban) agree to combine their investment for larger benefit, the budget per Kum banh will have an estimated cost allocation of \$40,000 per Kum banh per contract.

*Procurement of goods:* The Shopping method available for procurement of goods below is also customized from the World Bank Procurement Guidelines (Article 3.15) for C3.2 investments. The Shopping will be procured on the basis of comparing price quotations obtained from at least three (3) suppliers. The procurement process will follow the detailed steps and maintain the documentation as required.

*Direct contracting:* Direct contracting enables a supplier or a contractor to be chosen without applying the competitive methods described above. This method is used when there is only one source available. Other justifications for direct contracting include urgency, the need to adopt certain technology or a repeat order. To the extent possible, the contract price agreed upon should be within local market rates or established estimates as indicated in a Unit Cost Database. Under this method, the contract price can be negotiated. Direct contracting should require prior approval of National Project Management Unit (NPMU). Direct Contracting for works is exceptionally authorized for e.g. the use of the state enterprise established by the Ministry of Health (Provincial Nam-sa-ath Office) which drills wells in remote areas of Laos and for electrification works by the Electricite du Lao (EDL).

### **2.3.4 Eligible Bidders for Civil Works and Goods**

The eligible or qualified bidders must have the following documents:

1. Bidder's Legal Name, Address,
2. Copy of Business Licenses,
3. Tax payment Certificate

### **2.3.5 Procurement Process**

The Bidder shall prepare one original of the documents comprising the Quotation and marked "Original". In addition, the Bidder shall also submit (2) Copies. In the event of any discrepancy between the original and the copies, the original shall prevail. The original and each copy of the Quotation shall be typed or written in indelible ink and shall be signed by a person duly authorised to sign on behalf of the Bidder. The name and position held by each person signing the authorisation must be typed or printed below the signature. Any interlineations, erasures, or overwriting shall be valid only if they are signed or initialled by the person(s) signing the Quotation.

The Quotation shall be delivered no later than the date and time indicated in the Request for Quotation. Late quotation shall be considered as non-responsive quotation and shall be returned unopened to the bidder. The Bidder may withdraw its Quotation after submission,

provided that written notice of the withdrawal is received by the Employer prior to the deadline for submission. No Quotations shall be modified after the deadline for submission of Quotations. Withdrawal of a Quotation between the deadline for submission and expiration of the validity shall result in ineligibility of the bidder.

The Bidder name, modification or withdrawals, Quotation price, discounts will be announced at the opening. The Component 3.2 Management Unit shall provide all attendees with written minutes of the quotation opening. No bids shall be rejected at the bid Opening, except for late quotations.

Immediately after completion of the opening proceedings, copy of the opening record shall be posted at a prominent location, accessible to the public, outside the office of the Employer and shall be retained at the same location until the award of contract has been notified. A copy of the bid opening record shall be provided to all bidders who submitted bids.

After the opening of Quotations, the Component 3.2 Procurement team shall prepare Quotation Evaluation Report and information relating to the examination, clarification, and evaluation of Quotations and recommendations for award shall not be disclosed to Bidders or other persons not officially concerned with the evaluation process until after the award of the Contract is announced.

The Component 3.2 Management unit will award the contract to the Bidder whose quotation has been determined to be substantially responsive to the Request for Quotations and who has offered the lowest evaluated price. In evaluating the Quotations, the Component 3.2 Management unit will determine for each Quotation the evaluated price by adjusting the Quotation by making any correction for any arithmetic errors as follows:

- (a) Where there is a discrepancy between amount in figures and in words, the amount in word will govern;
- (b) Where there is a discrepancy between the unit rate and the line item total resulting from multiplying the unit rate by the quantity, the unit rate as quoted will govern

The Component 3.1.1 management unit reserves the right to accept or reject any Quotations, and to cancel the process of the competition and reject all Quotations, at any time prior to the award of the contract, without thereby incurring any liability to affected Bidders or any obligation to inform the affected Bidders of grounds.

Prior to expiration of the Bid validity period, the Component 3.2 will award the contract to the Bidder whose quotation has been determined to be substantially responsive and who has offered the lowest evaluated price. The Bidder whose Bid is accepted shall sign the contract within a period of 15 days from the date of issue of the notice of award.

The signed Contract Agreement should be registered by the contractor/supplier, in accordance with the Decree No. 52/PM, dated 13 March 1993.

Inspection: The Component 3.2 Management Unit shall inspect of the delivery of goods to inspect them and to reject and refuse acceptance of goods not conforming to contract.

Payment for the goods pursuant to this contract shall not be deemed and acceptance of the goods. For Civil works, the Component 3.2 shall be responsible for providing regular and frequent supervision and guidance to the Contractor for carrying out the works as per specifications.

### 3 Environmental and Social Safeguards

#### 3.1 Safeguard Screening and Mitigation Measures

1. For the MIWRM project, an Environment and Social Management Framework (ESMF), the Compensation and Resettlement Framework (CRPF), and the Ethnic Groups Planning Framework (EGPF) have been prepared. Given that the investment/activities to be carried under **C3.2** will be small and the environmental risks are expected to be minimal, the issues and process will be carried out as part of the planning and implementation process. The **DAFO Representative; SC3.2 Engineering and C3.2 Safeguard** team will be responsible for ensuring compliance with the ESMF, including keeping proper documentation in the project file for possible review by the WB. Any safeguard mitigation cost will be included as part of the proposed investment cost.

2. *WB safeguard clearance:* WB prior review for the village investment will not be required. However a safeguard review may be conducted during WB implementation support missions to ensure compliance of the investment activities. All records related to safeguard issues, and consultation with women and ethnic groups and/or other aspects will be kept in the project file for WB review.

3. *Key safeguard issues and mitigation measures:* Despite the nature of small investment, efforts will be made to address and mitigate potential negative impacts. Below highlight key issues and actions to be considered and/or carried out during the planning and implementation process.

To ensure that the safeguard issues have been considered during the screening and planning stages, all proposals must include completed environmental and social checklists. During the implementation and operation of the investment, the safeguard issues need to be monitor to make sure that all of the raised issues are well manage and record properly. All the safeguard clearance form will be signed off by the **C32** manager or the **C32 Engineering Consultant or C32 Safeguard Specialist**.

As part of the planning and design stage, an environmental and social review will be undertaken by the **C32** team for all investment activities considered to create potential adverse impacts (see [Annex 4](#)). Forced (involuntary) resettlement and/or land acquisition is not eligible for financing under any condition. Voluntary land donation requires an early special approval from district authority forums, prior to any decision in the Village meeting.

For construction of office building and infrastructure that requires contractor, the local authority and **C3.2 Engineering** team will ensure that the good construction practices

provided in the ESMF will be incorporated into the bidding and contraction documents and the contractor performance will be supervised by the construction supervision consultant. If the investment will be implemented by local communities, the **C3.2** Engineering team will inform and monitor the application of the good construction practice to the villagers and monitor their performance especially those related to waste generation and disposal, safety, and the use of toxic substance. The **C3.2** Engineering team will also check for safety regarding UXO in the proposed area to ensure safety during implementation.

***Provide more knowledge on IWRM and safeguards:*** In various meetings with local authorities and communities, the **C3.2** team will take an opportunity to provide basic training/knowledge on IWRM process and various social and environmental safeguard measures that could contribute to better management of water quantity, water quality, and protection and conservation of fisheries, and other critical natural habitats in target areas. If possible, effort should be made to identify local actions that could be made to address these issues. Special attention will be given to ensure sustainability of the investments as well as the proposed mitigation measures by local authority and local communities using their own budget.

### **3.2 Consultation with Ethnic Groups**

It is not expected that the proposed investment to be supported under SC3.2 will create any adverse impacts on ethnic groups in the target areas. However, to be in line with EGPF, the **DAFO and C3.2** team and in consultation with the local coordinators will apply the specifications of the EGPF related to consultation with the ethnic groups during the planning and implementation of the proposed investment with free prior and informed consultation in a culturally appropriately manner to ensure that the ethnic groups (if located in the proposed area) will provide broad community support to the proposed investment and if possible benefit from it. Due attention will be given to ensure that minority ethnic groups, vulnerable groups, disabled, and women are encouraged or invited to join the series of meetings, actively participate and (if possible) benefit from the proposed investment.

### **3.3 Information Dissemination and Disclosure**

As required by WB, all safeguard related documents will be made available to the public through DWR website. The **C3.2** Component Manager, the technical team, and the **DAFO** local coordinators are responsible for disseminating this information to the public and key stakeholders and/or villagers at an early stage through meetings, consultation, media, etc.

To make sure that the information related to the investment activities are well informed, the C3.2 team (Component manager, coordinators, etc.) will also prepare an annual report for the C3.2 and disclosed them in DLF website. The report will cover a list of village investments, a brief of C3.2 activity, budget approved, implementation plan and/or schedule, etc. Other information regarding the C3.2 activities (brochure, booklet, presentations... as handouts and use as the support tools during the meetings and or consultation, etc.) could be made available upon request as well.

Table 5 presents key actions on safeguards to be carried out by the C3.2 team and DAFO Local Coordinators.

Table 5: Safeguard actions to be carried out in 2016-2017

	Safeguard actions	Remarks
Construction of rural infrastructure	<p>Include good engineering practices into the contract documents and the supervision consultant and the results will be included in the construction supervision report</p> <p>Train and supervise community to pay attention on good construction practices especially on waste management, water pollution, toxic substance, and safety aspects.</p>	The team will apply review the ESMF good construction practices, including the CRPF.
Fish conservation zone	Ensure that local communities are in agreement with the propose rules and procedures and adequate consultation is made.	Need to keep proper recording during the consultation with name of participants and agreement reach, the CRPF will be applied for any restriction of access that potentially could occur.
Consultation with Ethnic Groups	The team will ensure that the target areas would have adequate information on ethnic groups, especially in areas likely to be proposed for <b>C3.2</b> support for rural infrastructure investment. And the EGPP should be prepared in areas where Ethnic Groups are present	The team will also review the EGPF requirements will be follow up, specifically for the preparation of the EGP.

## Annex 1 Detailed Sub-Procurement Plan for Rural Infrastructure Investment

As of - \_\_\_\_\_ 2016

### I. General

#### 1. Project information:

- Country: Lao PDR
- Project Implementing Agency:
  1. Department of Water Resource Management, Ministry of Natural Resources and Environment (MoNRE)
  2. Department of Livestock and Fisheries (DLF)

#### 2. Bank's approval Date of the procurement Plan

- Original Plan : \_\_\_2016

#### 3. Period covered by this procurement plan:

- Until the year 2016 implementation of the project.

### **Goods and Works and non-consulting services.**

#### 1. Prior Review Threshold: Procurement Decisions subject to Prior Review by the Component 3.1.1 Management as

Expenditure Category	Contract Value Threshold (US\$'000)	Procurement Method
Goods	< 100	Shopping
Works	< 200	Shopping

#### 2. Prequalification. Not expected for the works/goods packages.

#### 3. Any Other Special Procurement Arrangements: Advance contracting may be applied for some items as specified in the Procurement Plan.

#### 4. Procurement Packages for Works & Goods (prior & post reviews) with Methods and Time Schedule

1	2	3	4	5	6	7	8
No.	Contract (Description)	Estimated Cost USD	Procurement Method	PQ (yes/no)	Domestic Preference (yes/no)	Review by CMU (Prior / Post)	Expected Bid/ Quotation Opening Date
C3.2-RI-G-O1	Construction Materials for Seven (7) Schools in Champassak	22,000	Shopping	No	Yes	Prior	May 2016
C3.2-RI-G-O2	Construction Materials for fifteen (15) Village Offices in Champassak	42,000	Shopping	No	Yes	Prior	May 2016
C3.2-RI-G-O3	Construction Materials for two (2) Village Roads Improvements in Champassak	7,000	Shopping	No	Yes	Prior	May 2016
C3.2-RI-G-O4	Construction Materials for one (1) Wooden Bridges for Villages in Champassak	11,000	Shopping	No	Yes	Prior	June 2016
C3.2-RI-G-O5	Construction Materials for one (1) Community Water Supply in Champassak	4,000	Shopping	No	Yes	Prior	June 2016



C3.2-RI-G-06	Construction Materials for one (1) FCZ Observation Office in Champassak	3,000	Shopping	No	Yes	Prior	June 2016
C3.2-RI-G-07	Construction Materials for three (3) Toilets in schools and village offices in Champassak	3,000	Shopping	No	Yes	Prior	June 2016
C3.2-RI-G-08	Construction Materials for Stone Concrete Weir in Champasack	3,000	Shopping	No	Yes	Prior	June 2016
C3.2-RI-G-09	Construction Materials for One (1) School Improvements in Attapeu	4,000	Shopping	No	Yes	Prior	May 2016
C3.2-RI-G-01	Construction Materials for Six (6) Village Offices Improvements in Attapeu	24,000	Shopping	No	Yes	Prior	May 2016
C3.2-RI-G-10	Construction Materials for Two (2) School Improvements in Champassak	8,000	Shopping	No	Yes	Prior	May 2016
C3.2-RI-G-11	Construction Materials for Five (5) Village Offices Improvements in Sekong	20,000	Shopping	No	Yes	Prior	May 2016
C3.2-RI-G-12	Construction Materials for One (1) Village Road Improvements in Sekong	4,000	Shopping	No	Yes	Prior	June 2016
C3.2-RI-G-13	Construction Materials for One (1) Pipe Culvert in Sekong	4,000	Shopping	No	Yes	Prior	June 2016



**Village profile:****General Information**

Total population: \_\_\_\_\_ Women: \_\_\_\_\_ No. of Household: \_\_\_\_\_

**Ethnicity in the village**

	<b>Name of tribe</b>	<b>Code</b>	<b>Population</b>	<b>No. of women</b>
1				
2				
3				
4				
5				
6				
7				

Sign and Stamp by  
Head of Village

Recorded by

Lao People's Democratic Republic  
Peace Independence Democracy Unity and Prosperity



Province.....

District.....

Village:.....

Date:.....

**Agreement on the Selection of Village Representative**

Referred to the Village's Development Planning Meeting held on \_\_\_\_\_

The \_\_\_\_\_ villagers of \_\_\_\_\_village,

District.....Province.....agreed to select .....representatives

(women.....person(s) as detailed list below:

Sn.	Full name	Age	Ethnic	Responsibility in the village
1				
2				
3				
4				
5				
6				

The objective is to involve them in the village planning meeting, which held at

\_\_\_\_\_ from \_\_\_\_/\_\_\_\_/\_\_\_\_\_

Date \_\_\_\_/\_\_\_\_/\_\_\_\_  
**Verified by Head of Village  
(Sign and Stamp)**

Lao People's Democratic Republic  
Peace Independence Democracy Unity and Prosperity



District.....  
Village:.....

Date:.....

### Summary of Prioritized Kum banh Investment

Location	
Province	
District	
Kum banh	

Number of attendants: \_\_\_\_\_ Person(s)

Women: \_\_\_\_\_ Person(s)

**I. Required priority for RID, AI and others**

-Rank of required priority	Location (Name of village and Kum banh)	Dimension/Scale				Proposed by:			Estimated beneficiaries		Estimated budget required for investment
		Unit	QTY	Size	Unit	Men group	Women group	Ethnic group	Men	Women	
1.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
2.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
3.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
4.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Component 3.1.1 plan to support implementation of development plan

Rank of required priority	Location (Name of village and KFMC)	Dimension/Scale				Proposed by:			Estimated beneficiaries		Estimated budget required for investment
		Unit	QTY	Size	Unit	Men group	Women group	Ethnic group	Men	Women	
1.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
2.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
3.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
4.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
5.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
6.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
7.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
8.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
9.						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Sign by Chief of Kum banh Or Village Leader

Recorded by







## Annex 3: Consultation Guidelines and Documentation

The objectives of the consultations are to (a) identify and validate priority small rural infrastructure investments e.g. “preference list” to be funded under **C3.2**, (b) ensure participation of local communities including women and ethnic minority members into investment selection and design, and (c) to inform local communities about relevant social and environmental safeguard procedures and requirements.

Consultations will be led and facilitated by **PAFO and DAFO**, and will engage with stakeholders such as government line agencies, district government, kum banh, and local communities. The **C3.2** technical team will prepare and distribute relevant material and agenda in Lao language to the stakeholders at least three days prior to the consultation, including the use of oral communication in the local language for any particular ethnic group located in the project area. The **C3.2** technical team will also be responsible for proper documentation of the consultation. Participants’ background information may include male/female, ethnicity, role and responsibility, contact information (if available), issues raised and discussed, and how they may be addressed. Consultation will take place at least 1 time during Step 1 (Orientation/kick-off meeting) and Step 2 (Initial technical survey and validation). If needed, follow-up consultations will be arranged. The structure of consultation at each level is outlined below, while forms for proper documentation can be found in Annex 2.

Below is the overview of the consultations/meetings at each level:

### **Kumban/community meeting**

**Location:** Village hall or Wat (temple or school)

**Chairman:** Village leader assisted by the **District coordinator (DAFO)**, or both

**Participants:** **District coordinator, C3.2** technical team, community members, mass-based organizations in charge, and village leaders; Ethnic group representative (if any); important to define a quorum with the minimum of participants. Invitations letters or oral communication will be send in advance; at least two weeks; including proper information by specifying the objectives of the proposed consultations.

### **Objectives:**

- Ensure understanding of the M-IWRMP objectives and activities, specifically **Component 3.2**
- Explain the concept of small rural infrastructure investment, and the process to screen and select investment on the preference list
- Identify and validate the preference list with kum banh and village leaders, and community members
- Discuss level of expected community involvement for investment to be financed
- Discuss social and environmental safeguards procedures

### **Expected outcomes:**

- All villagers/kum banh stakeholders are aware of and understand C3.2 objectives, principles, rules, procedures, and process
- Based on documented consultation, confirmation of the preference list and solicited feedback from villagers.

- Identify the roles of Kum banh /stakeholders in activity implementation
- Solicit input to shape the Investment Implementation Plan (IIP)
- If Ethnic Groups are present, an Ethnic Group Plan should be prepared

**Output:**

- Consultation meeting minutes including [what forms or outline, what are you documenting specifically] [this could include: program of the meeting; subjects discussed and agreements; list of participants and next steps..]
- Completed stakeholder engagement form (Annex 2)
- List of participants including their role and responsibility in the villages (Annex 2). Signature or thumb print will be collected.

**Duration:** half day to 1 day

**Follow-up:** The district coordinator/**C3.2** technical team ensures that there is proper follow-up with the key actors as per agreement on the consultation minutes.

**District /provincial consultation meeting**

**Location:** Government District Meeting Hall

**Chairman:** Provincial \district governor, provincial\district coordinators or assigned person

**Participants:** Provincial\District line departments, **DLF, C3.2** technical team, provincial and district technical staff, other organization, NGOs if any

**Objectives:**

- Presentation of **C3.2** and small rural infrastructure investment objectives, principles, rules, and procedures
- Explain the concept of small rural infrastructure investment, and the process to screen and select investment on the preference list
- Identify and validate the preference list
- Presentation of IIP

**Expected outcomes:**

- All stakeholders are aware of and understand subcomponent objectives, principles, rules, and procedures (including rights and responsibilities of district)
- Better understanding and coordination with all concerned departments, NGOs and other projects working in the district (including the private sector)
- Feedback and resolution of the IIP

**Output:**

- Consultation meeting minutes including [what forms or outline, what are you documenting specifically]
- List of participants including their role and responsibility (Annex 2)
- Endorsement of IPP and implementation arrangement
- Endorsement of investment detail design

**Duration:** 1-2 days (depending on the agenda)

**Follow-up:** The provincial\district coordinators ensure that there is proper follow-up with the key actors based on the meeting minutes.

**Women participation:** This is an important part for IWRM practices. In general, women are part of the communities and can play an important part in water resources management and wellbeing of community. Therefore women participation should be enhanced where/when ever there is an opportunity. In each stage of the planning process, the **C3.2** team will encourage women to participate during the planning and selection of the investment as well as actively participate during the implementation and/or monitoring and evaluation and in general access to natural resources like water and land and training opportunity. It is important to acknowledge the traditional roles and functions of men and women in the community however it should not be necessarily limited to these roles because women's traditional roles at present may not fully allow them to participate in decision-making process or to be empowered. In order to assess the level of women participation, records will be made through out the investment planning and implementation process as well as in any consultation meeting, or workshop. To ensure that women will be invited to participate in all of the stage from beginning to the end of project and also benefit from the proposed investment, the following actions will be applied:

- If possible, women participation should not be less than 20% of the participants.
- At the beginning planning process, before the meeting, the community will be advised by the **C3.2** technical team, provincial and or district coordinators to invite and encourage women to participate and the number and voice of women will be record in the minute.
- During the consultation meeting, women will be formed in different specific groups (If more women participate) and to encourage them provide inputs and making their voices, if the meeting are about to vote for any investment, then specific number of women will have to be mention. All of the women comments and or suggestion, issues raised will be record properly so that later on all of the issues raised by them have to be address.
- During the implementation, women will be part of the key actors and will be assigned the appropriate tasks to suit them. They will also be part of the monitoring and evaluation too.

## **Annex 4: Safeguards**

This annex highlights key safeguard requirements that are applicable to the expected investments to be financed with funding support from **Component 3.2**. The full instruments for social and environmental safeguards are available in the project website under the following topics: The Environment and Social Safeguard Framework (ESMF), the Compensation and Resettlement Policy Framework (CRPF), and the Ethnic Groups Planning Framework (EGPF).

### ***(A4.1) The “Negative List” (not eligible for M-IWRM project fund)***

2. The “Negative List” as defined in the ESMF is as follows:
  - (i) Relocation, and/or structural demolition of any houses or business.
  - (ii) Land acquisition that affect more than 200 persons or 40 households.
  - (iii) New settlements or expansion of existing settlements inside natural habitats and existing or proposed protected areas.
  - (iv) Likely to create adverse impacts on ethnic groups within the village and/or in neighboring villages or unacceptable to ethnic groups living in a village of mixed ethnic composition.
  - (v) Loss or damage to cultural property, including sites having archeological (prehistoric), paleontological, historical, religious, cultural and unique natural values.
  - (vi) New roads, road rehabilitation, road widening, road-surfacing, or track upgrading of any kind inside natural habitats and existing or proposed protected areas.
  - (vii) Purchase of gasoline or diesel generators and pumps; guns; chain saws; large amount of pesticides, insecticides, herbicides and other dangerous chemicals; asbestos and other investments detrimental to the environment; if pest invasion occurs, small amount of eligible and registered pesticides in Lao PDR could be allowed.
  - (viii) Forestry operations, including logging, harvesting or processing of timber products; however support to sustainable harvesting and processing of NTFPs are allowed if accompanied with a management plan for the sustainable use of the resources.
  - (ix) Introduction of non-native species, unless these are already present in the vicinity or known from similar settings to be non-invasive.
  - (x) Significant conversion or degradation of natural habitat or where the conservation and/or environmental gains do not clearly outweigh any potential losses.
  - (xi) Large scale construction or small/medium scale construction expected to lead to significant negative environmental impacts. Large project that requires full EIA will not be funded.

### ***(A4.2) Safeguard screening and ESMF process***

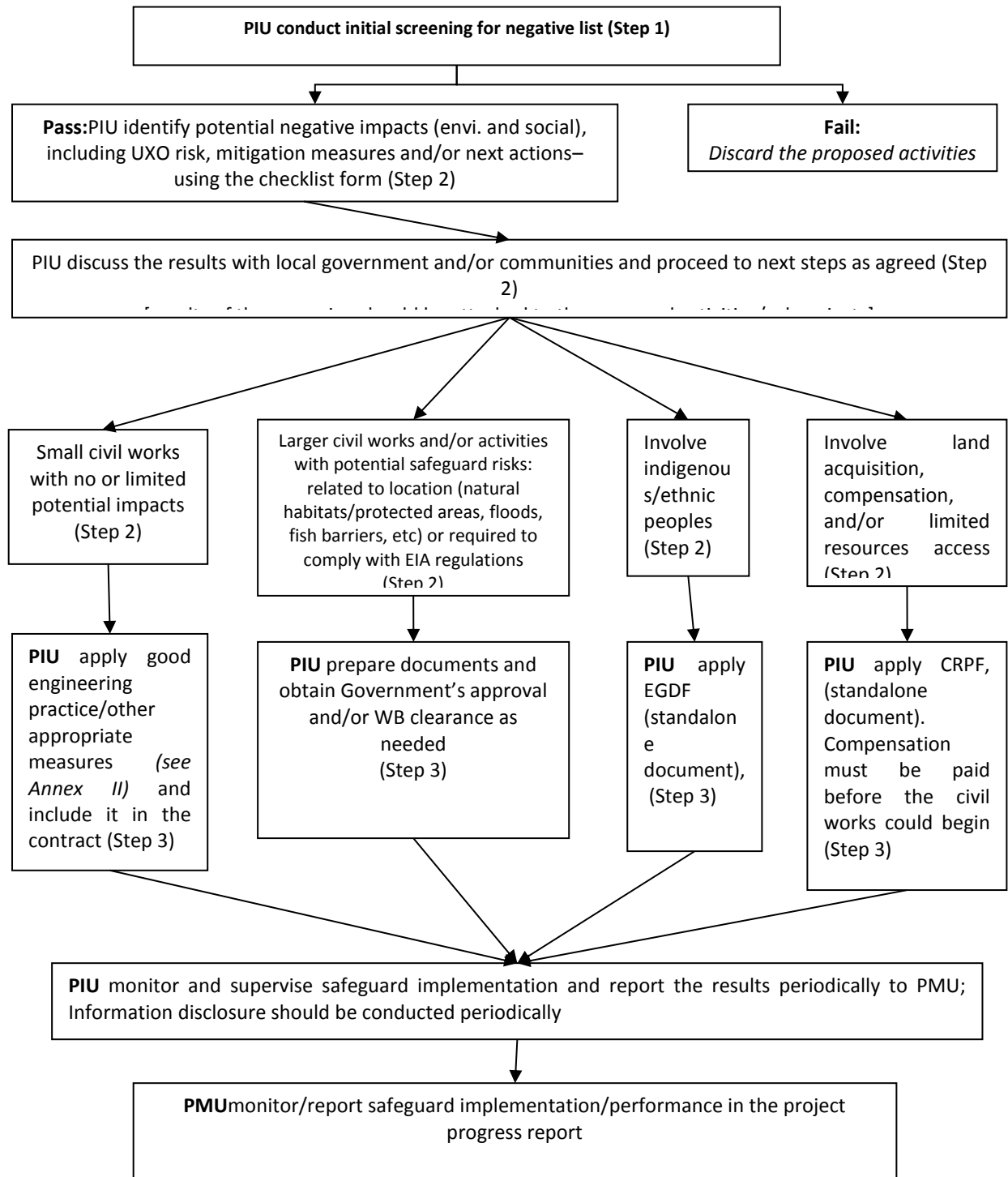
3. Safeguard issues and ESMF process as defined in ESMF are as follows: (Table A4.2 and Figure A4.2).

Table A4.2. Guidance on safeguard issues and mitigation measures (as described in the ESMF)

Potential negative impacts	Required mitigation actions	Remarks
(1) Permanent or temporary loss of land or resources for any families, including restriction of access to natural resources and/or impediments to movement of people and animals (Includes patrolling activities)	<p>Preparation of a Resettlement Action Plan (RAP) to provide compensation and/or assistance following the Compensation and Resettlement Policy Framework (CRPF) for Lao PDR.</p> <p>The project will support increasing awareness of PAPs about the Grievance Redress mechanism, and build capacity of those involved in existing <u>Grievance Redress mechanism on the required tasks, including dealing with or mediating complaints, recording/reporting and monitoring proposed resolutions.</u></p>	Prior consultation with WB, proper documentation, and Post review by WB may be necessary.
(2) Potential social conflicts arising from land tenure and land use issues and/or in water supply rights or related social conflicts	<p>Develop mitigation measures for conflict resolution through close consultation with stakeholders and placed within Project processes, inherently community-based and collectively managed, not precluding the involvement of third-party/external mediators.</p> <p>Develop Village Resources Use Agreement;</p> <p>Using existing local grievance redress mechanisms and Conflict Management mechanisms, that most likely led by senior/elderly respected persons, or leaders of Ethnic Groups.</p>	If the conflicts may deteriorate livelihoods or living conditions of women or the poorest families in the sub-project area or involve political influence, or likely to be escalated to higher level, inform WB
(3) Likely to adversely affect ethnic groups	<p>Carry out social assessment process through free, prior, and informed consultations and, if necessary, prepare an Ethnic Groups Development Plan (EGDP) in accordance with guidance in the Ethnic Groups Planning Framework (EGPF) for Lao PDR.</p> <p>The project will support increasing awareness of PAPs, in respective languages of IP groups, about the Grievance Redress mechanisms, and building capacity of those involved in the existing <u>Grievance Redress mechanism on the required tasks, including dealing with or mediating complaints from individual and/or ethnic groups, recording/reporting, and monitoring proposed resolutions.</u></p>	Prior consultation with WB, proper documentation, and Post review by WB may be necessary.
(4) Likely to increase the use of pesticides and/or toxic chemicals that could	Prohibit the use of large amount of pesticides and toxic chemicals; Apply the simplified pest management plan and provides training to	

affect soil quality, water quality, and/or water users downstream	farmers/fishers.	
(5) Investment to be carried out in a Protected Area, Wildlife Reserve, Buffer Zone, Wetlands, or other conservation area including fisheries management zone that potentially creates restrictions of access or investment involve civil works that may cause significant air, noise, and/or water pollution, soil erosion, and/or create public health risks, wildlife hunting, or impacts on downstream water uses.	<ul style="list-style-type: none"> <li>• Prepare an Environmental Management Plan (EMP) to mitigate the potential negative impacts and/or to reduce safeguard risks; some guidance on the mitigation measures would be provided in the safeguard operation manual.</li> <li>• Conduct consultation with local authority and communities.</li> <li>• Process framework for restriction of access should be prepared following the Compensation and Resettlement Policy Framework (CRPF) for Lao PDR.</li> <li>• Carry out the investment in the Ramsar site in line with the Ramsar site management plan and in close consultation with the management authority.</li> </ul>	<p>The project implementation unit (PIU) and/or the project management unit (PMU) will ensure that the investment are compliance with the government regulations.</p> <p>Prior consultation with WB, proper documentation, and Post review by WB may be necessary.</p>
(6) Unsustainable forestry utilization, including non-timber forest products (NTFPs); introduction of non-native species; causing flood to nearby area; and/or blockage of fish migration, including unsustainable use of other aquatic animals (OAAs).	Consult with local community to reach an agreement on how to avoid/mitigate the potential negative impacts and when possible increase sustainable use of forestry products, fisheries, and other aquatic animals. If a new species is involved making sure that the new species is already present in the vicinity or is known from similar setting to be non-invasive. If restriction of natural resources, social conflict, and/or ethnic groups as indicated in (1), (2), (3) follow the mitigation measures identified in (1), (2), (3).	<p>Excluding logging, harvesting or processing of timber products.</p> <p>Close consultation with WB safeguard specialists is recommended.</p>
(7) Involve UXO risk?	If yes, contact responsible agency and complete the clearance before conducting project investment	PIU to take the lead in securing safety of the project area
(8) Investment involve small civil works that may cause small amount of air, noise, and/or water pollution, soil erosion, and/or create public health risks, wildlife hunting, or impacts on downstream water uses.	<ul style="list-style-type: none"> <li>• Apply good engineering and/or good housekeeping with close monitoring and supervision, including maintaining close consultation with local population.</li> <li>• The contract will also include a special clause on “<i>chance find</i>”.</li> </ul>	PIU and PMU will ensure that the appropriate mitigation measures are included in the contract and that the contractor effectively implement them.
(9) Opportunity to enhance environmental benefits, mainstream environmental issues, and/ or synergy with other MRC activities	<ul style="list-style-type: none"> <li>• Closely coordinate with the countries and MRC during the project implementation.</li> </ul>	This is to enhance positive impact of the project.

Figure A4.2 – Schematic flowchart to determined safeguard measures (as described in the ESMF)



#### **(A4.3) Good engineering and housekeeping practices**

4. The practice of housekeeping involves proper storage, use, cleanup, and disposal of the various materials used during construction for human and environmental safety. The following good housekeeping practices are required for all M-IWRM-funded investment:

**DO:**

1. Limited working hour during the day time, especially in residential areas, and control driving speed;
2. Minimize earth excavation and appropriate disposal of spoil;
3. Minimize opening of new borrow pits and ensure proper closure;
4. Minimize traffic congestion, dust and noise generation;
5. Proper maintenance of construction equipment and vehicles;
6. Provide appropriate safety sign (day and night) and closely inform local residents;
7. Avoid spill of used oil and other toxic materials, including safe transportation and storage;
8. Apply good housekeeping in the construction and/or storage sites to ensure safety of workers and peoples (Gather up and remove debris to keep the work site orderly and safe; Plan and implement adequate disposal of scrap, waste and surplus materials; Keep the work area and all equipment tidy. Designate areas for waste materials and provide containers; Keep stairways, passageways and ladders free of material, supplies and obstructions; Secure loose or light material that is stores on roofs or open floors; Keep materials at least 2m (5ft) from openings, roof edges, excavations or trenches; Remove or bend over nails protruding from lumber; Keep hoses, power cords, welding leads, etc from laying in heavily traveled walkways or areas; Ensure structural openings are covered/protected adequately; Provide the appropriate fire extinguishers for the materials found on-site. Keep fire extinguisher stations clear and accessible; etc.)
9. Ensure access to clean water and latrines by workers and provide mosquito net.
10. Avoid social/cultural conflict between workers and local population.

**DO NOT:**

1. Do not permit rubbish to fall freely from any locations of the project and/or access by animals (dogs, cats, pigs, etc.). Use appropriate containers.
2. Do not throw tools or other materials.
3. Do not raise or lower any tool or equipment by its own cable or supply hose.
4. Use grounding straps equipped with clamps on containers to prevent static electricity buildup.
5. Do not allow hunting of animals by workers in protected areas.

**SPECIAL NOTE ON FLAMMABLE/EXPLOSIVE MATERIALS:**

1. Store flammable or explosive materials such as gasoline, oil and cleaning agents apart from other materials.
2. Keep flammable and explosive materials in proper containers with contents clearly marked.
3. Dispose of greasy, oily rags and other flammable materials in approved containers.
4. Store full barrels in an upright position.
5. Store empty barrels separately.
6. Post signs prohibiting smoking, open flames and other ignition sources in areas where flammable and explosive materials are stored or used.
7. Store and chain all compressed gas cylinders in an upright position.
8. Mark empty cylinders and store them separately from full or partially full cylinders.
9. Ventilate all storage areas properly.
10. Ensure that all electric fixtures and switches are explosion proof where flammable materials are stored.



5. The following “*chance find*” procedures to be included in all civil works contract:

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

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

6. Possible impacts and mitigation measures for other investments

(a) *Environmental effects and mitigation measures for small public buildings, including hatcheries*

<b>Activity</b>	<b>Potential Effects</b>	<b>Possible Mitigation Measures</b>
<b><i>I. Construction</i></b>		
1. Site clearing	Disturbance of habitats and/or nearby community	Inform nearby community and local authority
2. Civil works building	Noise, dust, vibration, traffic, wastes, creation of borrow pits	Reduce traffic, control noise, dust, vibration measures, landscaping
<b><i>II. Operations</i></b>		
1. Wastes from the operation of building And/or hatcheries	Water pollution, garbage.	Ensure proper treatment of wastes and collection of garbage.

*(b) Environmental effects and mitigation measures for boreholes*

<b>Activity</b>	<b>Potential Effects</b>	<b>Possible Mitigation Measures</b>
Sitting	Loss of land Land degradation Nuisance and aesthetic impacts	Consultation with communities, Reallocation of land, Landscaping (planting of trees/crops)
Drilling	Disturbance of stream channels, aquatic fauna Social disruption by construction workers Construction hazards New diseases (STD)	Re-vegetation, Establish settlement location for workers out of village to mitigate social interactions
Pump installation	Ground and surface water contamination by oil, etc	Experienced drillers only Enforcing standard safety procedures
Operation	Reservoirs may be breeding areas for water/vector-borne diseases (worms, mosquitoes); Water may be contaminated during transport or storage; Spills and leakage contamination of water; Reduction in water quality because of decomposed matter; Over pumping of ground water causing a lowering of ground water table; Disruption of downstream hydrology	Incorporate health and sanitation education program; Ensure adequate provision for the operation management and maintenance of facilities (including proper staff and community training).

*(c) Environmental effects and mitigation measures for rural roads*

<b>Phase/Activity</b>	<b>Potential Effects</b>	<b>Possible Mitigation Measures</b>
Planning/design	Land acquisition, encroachment to protected areas and/or natural habitats, cultural sites, etc. Too high standards and too much earth works excavation; Flood due to obstruction of drainage. Location of campsite must be accepted by the local people.	Apply appropriate standards, size, and direction of the roads to minimize the impacts; selection of the route should be made through consultation with local people; safety and dust impacts during construction and operation should be considered. Any compensation measures must be completed before construction begins.
Construction	Increase air and noise pollution for any nearby settlements; Introduction of outside workforce and other negative social consequence; Waste generations from construction sites and work camps; Increase uncontrolled use of firewood and hunting of fishes and wildlife; Increase pollution from	Control contractors' vehicle speeds and noise; Contractor employs local people where possible; Establish and implement waste management plan; Contractor supplies alternative fuel for cooking and heating in the labor camp and provide adequate food supply; apply good housekeeping and

	workshops; Increase risk due to traffic safety; Opening of borrow pits; etc.	good engineering practices at all work place and work camps; provide adequate road safety signs and measures; proper selection of borrow pits and ensure proper closure.
Operation.	Increase dust and risk due to road safety.	Install appropriate signs and cooperate with local residents to take actions to promote road safety.

(d) *Environmental effects and mitigation measures for (medium scale) irrigation schemes*

Potential Negative Effects	Possible Mitigation Measures
Soil erosion	Proper design and lay-out of furrows or field avoiding too steep gradient; Land leveling; Design of terraces on hillsides minimizing surface erosion hazard; Maintain vegetation cover
Water logging of soils	Regulation of water application to avoid over-watering; Installation and maintenance of adequate drainage system; Use of lined canals or pipes to prevent seepage; Accurate calculation of delivery irrigation requirements
Salinization of soils	Leaching of salts by flushing soils periodically; Cultivation of crops with salinity tolerance
Scouring of canals	Design of canal system to minimize risk; Use of canals lined with rocks
Clogging of canals by sediment	Measures to minimize erosion on fields; Design and management of canals to minimize sedimentation; Provision of access to canals for removal of weeds and sediments
Leaching of nutrients from soils	Avoidance of over watering; Replacement of nutrients through crop rotation; Accurate calculation of fertilizer requirements,
Algal blooms and weed proliferation	Appropriate application of fertilizers (quality, quantity, timing)
Clogging of canals by weeds	Design and management of canals to minimize weed growth; Provision of access to canals for treatment or removal of weeds
Deterioration of river quality below irrigation subproject and contamination of local groundwater (higher salinity, nutrients, agrochemicals) affecting fisheries and downstream users	Improved water management; Improved agricultural practices and control of inputs (particularly pesticides and chemical fertilizers); Imposition of water quality criteria
Reduction of downstream flows affecting flood plain use, flood plain ecology, riverine and estuarine fisheries, users of water, dilution of pollutants	Relocation or redesign of sub-project; Regulation of take-off to mitigate effects; Compensatory measures where possible
Encroachment on swamps and other ecologically sensitive areas	Choose sub-project's site to avoid or minimize encroachment on critical areas; Establishment of compensatory parks or reserved areas

Threat to historical, cultural or aesthetic features	Choose sub-project's site to prevent loss; Salvage or protection of cultural sites
Alteration or loss of flood plain vegetation and disturbance of coastal ecosystems (mangroves)	Choose sub-project's site to be in less vulnerable area; Limitation and regulation of water take-off to minimize problems to the extent possible
Introduction or incidence of water-borne or water-related diseases	Use of lined canals or pipes to discourage vectors; Avoidance of stagnant or slowly moving water; Installation of gates at canal ends to allow complete flushing; Filling or drainage of borrow pits along canals and roads; Water testing; Disease prophylaxis and treatment
Disease and health problems from use of waste water irrigation	Wastewater treatment (e.g. settling ponds prior to use); Establishment and enforcement of standards for wastewater use.
Conflicts over water supply and inequalities in water distribution throughout service area	Means to ensure equitable distribution among users and monitor to assure adherence; Establishment of effective water users associations
Over-pumping of groundwater	Limitation of withdrawal so that it does not exceed "safe yield" (recharge rate)
<b>External</b>	
Water quality deteriorated or made unusable by upstream land use and pollutants discharge	Control of land use in watershed areas; Control of pollution sources; Water treatment prior to use
Failure of upstream dams or reservoirs on which the sub-project investment depend	Check dam or reservoir safety prior to sub-project implementation

#### (A4.4) Consultation with ethnic groups

##### Consultation with ethnic groups

7. The PIUs, in close consultation with the project management unit (PMU) and the Lao Front for National Construction (LFNC), is responsible for preparing, supervising and monitoring all project activities related to ethnic groups related, including the implementation of the Ethnic Groups Process Framework (EGPF) and the subsequent preparation of the Ethnic Groups Plan, and the respective documentation and reporting resulted from the consultation phases. Results will be included in the Project progress report. The Bank supervision missions will periodically review the progress to ensure that the investments affecting indigenous peoples afford benefits to, and mitigate any adverse impacts on, them.

8. Given the small nature of civil works and the fact that selection of priority investment would follow the participatory planning and consultation process described in the EGPF, any adverse negative impacts to indigenous peoples are not expected and therefore, independent monitoring will not be necessary. However, upon WB's request, an independent monitoring would be conducted every six months.

9. **Consultation Framework with Ethnic Groups Affected by Investment.** The consultation framework aims to ensure that ethnic groups are included and well informed, consulted with free prior and informed consultation, including broad community support to the investments to be

supported by a project. Their participation can either provide them benefits with more certainty, or identify mitigation measures for any potential adverse impacts of investments to be financed by the project. The main features/process of the consultation framework includes a preliminary identification process, then an environmental and social assessment to determine the degree and nature of impact of the risks associated with each subproject to be supported by the project, and an ethnic action plan will be developed if warranted. Consultations with and participation of ethnic groups, their leaders and local government officials will be followed by using the guidance contained in the overall Ethnic Group Planning Framework (EGPF), which should be prepared along with the project feasibility report. Key elements of the guidelines are discussed in more details in Subsections 4.1-4.8 of the EGPF. Nonetheless, given a small nature of works only the preliminary identification guideline is provided in this annex.

10. A series of training to all implementers and local agencies preparing and implementing EGPs will be included. The Lao Front for National Construction (LFNC) will be invited as a resource person to provide training and perspectives of the GoL on ethnic policy in Laos and the WB requirements.

#### **4.1 Preliminary Identification**

11. To determine if ethnic groups reside in the project area, the preliminary screening process and identification process may include a social assessment and/or consultation that provide a comprehensive baseline data on social, economic and technical aspects of each investment. This includes also participatory mapping of community access to road and other key services. If the screening process confirms that no ethnic group communities reside in the project areas, no further action is necessary. If the screening indicates the presence of ethnic groups, the responsible project sponsor will undertake the social assessment by following the EGPF; and specific measures to ensure free prior and informed consultation with broad community support, and give opportunity for indigenous populations in participating decision making related to the investments and to design the activities in a culturally appropriately manner; based on their desire. This should culminate in the preparation of an ethnic group plan EGP. The social assessment process itself is often the method by which such consultations are undertaken however they can be undertaken as a separate exercise.

12. All investments in areas where ethnic groups are present, ethnic groups should be considered as a main beneficiaries of the project activities. The ethnic groups areas will be visited (at the time of first consultation with communities) by project implementers and relevant local authorities, including personnel with appropriate social science training or experience. Prior to the visit, respective project sponsor will send notice to the communities informing their leaders that they will be visited by the respective project sponsor and local authorities and consultation will be conducted on the investments. The notice will request that the communities invite to the meeting representatives of farmers, fishermen, women associations and village leaders for discussion on the investments. During the visit, the community leaders and other participants will present their views with regards to the investments.

13. At this visit, personnel with social science training or experience will undertake a screening for ethnic group population with the help of ethnic group leaders and local authorities. The screening will check for the following:

- (a) names of ethnic groups in the affected village
- (b) total number of ethnic groups in the affected villages
- (c) percentage of ethnic people in affected villages; including land uses patterns

- (d) number and percentage of ethnic households within a described zone of influence of the proposed investments. (The zone of influence should include all areas in which investments-related benefits and adverse impacts are likely to be relevant.)

14. If the results show that there are ethnic group communities in the zone of influence of the proposed investments, a social assessment will be planned for those areas and an EGP prepared for no objection by the Bank.

Annex 5: Prefeasibility Assessment Screening Form



ສາທາລະນະລັດ ປະຊາທິປະໄຕ ປະຊາຊົນລາວ  
 ສັນຕິພາບ ເອກກະລາດ ປະຊາທິປະໄຕ ເອກກະພາບ ວັດທະນາຖາອນ

ແບບຟອມ ທີ 6

ກະຊວງຊັບພະຍາກອນທຳມະຊາດ ແລະ ສິ່ງແວດລ້ອມ  
 ກົມຊັບພະຍາກອນນ້ຳ  
 ໂຄງການ M-IWRM ອົງ ກຸມ 3.2  
 ລະຫັດກິດຈະກຳ :

**ແບບຟອມປະເມີນຄວາມເປັນໄປໄດ້ຂອງແຜນກິດຈະກຳໃນເບື້ອງຕົ້ນ**  
**Prefeasibility Assessment Screening Form**

ຊື່ກິດຈະກຳ ທີ່ປະເມີນ : .....

ວັນທີ ການປະເມີນ

Date of Assessment: \_\_\_ / \_\_\_ / \_\_\_

(DD / MMM / YYYY)

<b>ການປະເມີນຄວາມເປັນໄປໄດ້ຂອງແຜນກິດຈະກຳໃນເບື້ອງຕົ້ນ</b>	
<b>PREFEASIBILITY ASSESSMENT SCREENING</b>	
<p>ຊື່ ແລະ ນາມສະກຸນ 1. ....</p> <p>ແລະ ລາຍເຊັນທິມ .....</p> <p>ຜູ້ປະເມີນ 2. ....</p> <p>signed written .....</p> <p>formby 3. ....</p> <p>assessment staff: .....</p>	<p>ຊື່ ແລະ ນາມສະກຸນ 1. ....</p> <p>ແລະ ລາຍເຊັນ .....</p> <p>ຜູ້ຮ່ວມປະເມີນ 2. ....</p> <p>signed formby .....</p> <p>assessment key 3. ....</p> <p>local participant .....</p>
<p>1. ສະຖານທີ່ປະເມີນ/ Location :                  ບ້ານ.....ເມືອງ.....ແຂວງ.....                  .....</p>	
<p>2. ອະທິບາຍຫຍໍ້ ລັກສະນະເດັ່ນຂອງກິດຈະກຳ / Describe key feature of investment:</p>	

<p><b>ຂໍ້ມູນລວມຂອງບ້ານ ທີ່ສະເໜີກິດຈະກຳ :</b></p> <p>ຊື່ບ້ານ:.....ເມືອງ.....ແຂວງ.....</p> <p>.....</p> <p>ປະຊາກອນ.....ເປັນຍິງ.....ຊົນເຜົ່າລາວລຸ່ມ.....</p> <p>.....</p> <p>ຊົນເຜົ່າລາວເທິງ.....ຊົນເຜົ່າລາວສູງ.....ຊົນເຜົ່າອື່ນໆ.....</p> <p>.....</p> <p>ອາຊີບຫລັກ:.....ອາຊີບສ່ວນອງ.....</p> <p>.....</p> <p>ເນື້ອທີ່ນາ.....ເນື້ອທີ່ສວນ.....ເນື້ອທີ່ໄຮ່.....</p> <p>.....</p>
<p>3. <u>ອະທິບາຍ ຂໍ້ມູນ ທີ່ກ່ຽວກັບຜູ້ໄດ້ຮັບຜົນປະໂຫຍດ</u> : ກິດຈະກຳທີ່ສະເໜີ ແລະ ມີຜົນປະໂຫຍດແນວໃດໃຫ້ປະຊາຊົນ</p> <p>ມັນກ່ຽວຂ້ອງຫຍັງກັບການຄຸ້ມຄອງຊັບພະຍາກອນທຳມະຊາດແບບປະສົມປະສານ ?</p>
<p>4. <u>ກິດຈະກຳທີ່ສະເໜີ ມີຜົນກະທົບຕໍ່ຄອບຄົວໃກ້ຄຽງ ຫລືໃນເພິ່ນທີ່ ບໍ່ ແລະ ໄດ້ຮັບການຍືນຍອມຈາກຄອບຄົວ ທີ່ໄດ້ຮັບຜົນກະທົບ:</u></p> <p>ໄດ້ <input type="checkbox"/> ຈົນກະທົບບໍ່ໄດ້ຮັບຜົນກະທົບ <input type="checkbox"/></p> <p>ຖ້າກະທົບ _____ ແມ່ນດ້ານໃດ ?</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>ຄອບຄົວດັ່ງກ່າວຍືນຍອມບໍ່ ?</p> <p>ຍີ <input type="checkbox"/> າມ ບໍ່ຍືນຍອມ <input type="checkbox"/></p> <p>4.1 <u>ມີຈັກຄອບຄົວ ທີ່ຄາດວ່າຈະໄດ້ຮັບຜົນກະທົບ</u> ? .....</p>



ຄອ.....

**4.1 ເຫດຜົນທີ່ຍິນຍອມ:**

**4.2 ເຫດຜົນທີ່ ບໍ່ຍິນຍອມ:**

5. ກິດຈະກຳທີ່ສະເໜີ ໄດ້ຮັບຜົນກະທົບ ແລະ ການຍິນຍອມຈາກບ້ານໃກ້ຄຽງ ທີ່ຄາດວ່າຈະໄດ້ຮັບຜົນກະທົບບໍ່ ?

ໄດ້  ຜົນກະທົບ ບໍ່ໄດ້ຮັບຜົນກະທົບ

ຖ້າກະທົບ \_\_\_\_\_ ແມ່ນດ້ານໃດ  
?.....

ບັນດາບ້ານໃກ້ຄຽງ ດັ່ງກ່າວຍິນຍອມບໍ່ ?

ຍີ  າມ ບໍ່ຍິນຍອມ

5.1 ມີຈັກບ້ານ \_\_\_\_\_ ທີ່ຄາດວ່າຈະໄດ້ຮັບຜົນກະທົບ \_\_\_\_\_ ?

.....ມີບ້ານໃດແດ່.....  
.....  
.....  
.....  
.....

6. ບັນຍາຍຫຍໍ້ ສະຖານທີ່/ ພື້ນທີ່ຈະເຮັດກິດຈະກຳ ມີລັກສະນະແບ່ງແວນໃດ ,ມີອັດສະດຸທ້ອງຖິ່ນຫຍັງແດ່ ທີ່ສາມາດນຳໃຊ້ໃນກິດຈະກຳ

<p><b>7. ແຜ່ນວາດ ຫລື ແຜນທີ່ ລະບຸທີ່ຕັ້ງ ກິດຈະກຳ:</b></p>																																																							
<p><b>8. ມາດຖານຂອງໂຄງການ/ລັດຖະບານ DWR/C3.2 Criteria</b></p> <p style="text-align: right;">ແມ່ນ/Yes    ບໍ່ແມ່ນ /</p> <p><b>ມາດຖານຂອງໂຄງການ/ລັດຖະບານ</b></p> <p>(1) ມີຄວາມຈຳເປັນເລັ່ງດ່ວນ ບໍ່/The proposed investment are urgent need ?</p> <p>(2) ຊຸມຊົນ ແລະ ບ້ານໃຫ້ຄຽງ ເຫັນດີສະນັບສະຫນູນບໍ່ ?The proposed investment have no objection from the proposed local community and its neighboring communities ?</p> <p>(3) ມັນຈະສ້າງຜົນກະທົບທາງລົບຕໍ່ກັບສິ່ງແວດລ້ອມບໍ່ ?The proposed investment do not create adverse impacts on local environment?</p> <p>(4) ມັນເປັນບຸລິມະສິດ ຂອງຊຸມຊົນ ແລະ ເປັນໄປຕາມນະໂຍບາຍສາມສ້າງຂອງລັດຖະບານ ບໍ່? The proposed investment are consistent with priority of the community and local government according to Sam Sang Policy ?</p> <p>(5) ແມ່ນບ້ານທີ່ທຸກຍາກເປັນຜູ້ສະເຫນີບໍ່ ?The proposed investment are proposed by the poor village ?</p>																																																							
<p><b>9. ອີງຕາມເອກກະສານແນະນຳຂອງ ທະນາຄານໂລກ ກ່ຽວກັບການເຜົາລະລົງ ໂດຍສະເພາະກິດຈະກຳທີ່ຕ້ອງມີການບູກເບີກເພີ່ມທີ່ ທາງທິມງານ ວິຊາການເຫັນວ່າ ໃນການກະກຽມການກຳສ້າງໂຄງລ່າງພື້ນຖານຂະຫນາດນ້ອຍນັ້ນ, ທາງທິມງານ ວິຊາການເຫັນວ່າ ກິດຈະກຳທີ່ສະເຫນີນີ້ແມ່ນ: Base on the Bank guideline safeguard issues : especially those related to site clearance, on small infrastructure, the technical team assessment can confirm that this proposed investment is</b></p> <p>ແມ່ນ/Yes    ບໍ່ແມ່ນ/No</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">1. ທຳລາຍປ່າໄມ້ ແລະ ອ່າງໃຕ້ງ? Degradation of</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/></td> <td style="width: 20%;">forestry</td> <td style="width: 10%; text-align: center;">and</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>watershed.....</td> <td></td> <td></td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>2. ເຮັດໃຫ້ນ້ຳເປັນມົນລະພາວະ ?</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Pollution.....</td> <td></td> <td></td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>3. ເປັນການຜະລິດສິ່ງເສດເຫຼື ເພີ່ມຂຶ້ນWaste generation.....</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>4. ເຮັດໃຫ້ອາກາດເປັນມົນລະພາວະ ? Air pollution.....</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>5. ເຮັດໃຫ້ ເກີດສຽງດັງ ? Noise pollution.....</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>6. ເຮັດໃຫ້ມີການ ຍົກຍ້າຍຊຸມຊົນ Resettlement .....</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>7. ໄດ້ມີການປຶກສາຫາລື ກັບບັນດາບ້ານໃກ້ຄຽງ Consultation with neighboring village.....</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>8. ໄດ້ມີການປຶກສາຫາລື ກັບບັນດາ ເຜົາຊົນຕ່າງໆ ໃນບ້ານ Consultation with ethnic group.....</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>9. ແມ່ຍິງໄດ້ມີສ່ວນຮ່ວມໃນການຕັດສິນໃຈ Participation of women.....</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	1. ທຳລາຍປ່າໄມ້ ແລະ ອ່າງໃຕ້ງ? Degradation of	<input type="checkbox"/>	forestry	and	<input type="checkbox"/>	watershed.....				<input type="checkbox"/>	2. ເຮັດໃຫ້ນ້ຳເປັນມົນລະພາວະ ?	<input type="checkbox"/>			<input type="checkbox"/>	Pollution.....				<input type="checkbox"/>	3. ເປັນການຜະລິດສິ່ງເສດເຫຼື ເພີ່ມຂຶ້ນWaste generation.....	<input type="checkbox"/>			<input type="checkbox"/>	4. ເຮັດໃຫ້ອາກາດເປັນມົນລະພາວະ ? Air pollution.....	<input type="checkbox"/>			<input type="checkbox"/>	5. ເຮັດໃຫ້ ເກີດສຽງດັງ ? Noise pollution.....	<input type="checkbox"/>			<input type="checkbox"/>	6. ເຮັດໃຫ້ມີການ ຍົກຍ້າຍຊຸມຊົນ Resettlement .....	<input type="checkbox"/>			<input type="checkbox"/>	7. ໄດ້ມີການປຶກສາຫາລື ກັບບັນດາບ້ານໃກ້ຄຽງ Consultation with neighboring village.....	<input type="checkbox"/>			<input type="checkbox"/>	8. ໄດ້ມີການປຶກສາຫາລື ກັບບັນດາ ເຜົາຊົນຕ່າງໆ ໃນບ້ານ Consultation with ethnic group.....	<input type="checkbox"/>			<input type="checkbox"/>	9. ແມ່ຍິງໄດ້ມີສ່ວນຮ່ວມໃນການຕັດສິນໃຈ Participation of women.....	<input type="checkbox"/>			<input type="checkbox"/>
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5. ເຮັດໃຫ້ ເກີດສຽງດັງ ? Noise pollution.....	<input type="checkbox"/>			<input type="checkbox"/>																																																			
6. ເຮັດໃຫ້ມີການ ຍົກຍ້າຍຊຸມຊົນ Resettlement .....	<input type="checkbox"/>			<input type="checkbox"/>																																																			
7. ໄດ້ມີການປຶກສາຫາລື ກັບບັນດາບ້ານໃກ້ຄຽງ Consultation with neighboring village.....	<input type="checkbox"/>			<input type="checkbox"/>																																																			
8. ໄດ້ມີການປຶກສາຫາລື ກັບບັນດາ ເຜົາຊົນຕ່າງໆ ໃນບ້ານ Consultation with ethnic group.....	<input type="checkbox"/>			<input type="checkbox"/>																																																			
9. ແມ່ຍິງໄດ້ມີສ່ວນຮ່ວມໃນການຕັດສິນໃຈ Participation of women.....	<input type="checkbox"/>			<input type="checkbox"/>																																																			

10. ອີງຕາມຜົນການປະເມີນແຕ່ ຂໍ້ 1 ຫາ ຂໍ້ 9 ແລະ ໃນຕາຕະລາງທີ 2 ຂອງ ບົດແນະນຳກ່ຽວກັບການດຳເນີນການຂອງການລົງທຶນໃສ່ການກໍ່ສ້າງໂຄງລ່າງພື້ນຖານຂະໜາດນ້ອຍ ໂຂງອົງປະກອບ 3.1.1 ສະບັບ ເດືອນ 3 ປີ 2015 ທາງທີມງານວິຊາການທີ່ລົງດຳເນີນການປະເມີນສາມາດ ຢືນຢັນໄດ້ວ່າ ກິດຈະກຳ ທີ່ສະເໜີນີ້ ແມ່ນມີຄວາມເປັນໄປໄດ້ຕາມ ຂໍ້ ກ ແລະ ຂ ດຳໄປນີ້: Base on items from 1 to 9 and the Table 2: Community/Village Infrastructure/Investment checklist in the guideline on small infrastructure, the technical team assessment can confirm that this proposed investment is possible to be in the list of

ກ. ສາມາດເປັນໄປໄດ້ ແລະ ສະເໜີເອົາຂຶ້ນໃນລາຍການ ເພື່ອດຳເນີນການຕໍ່ໄປ /Eligible and list in the prefer list

ຂ. ບໍ່ສາມາດເປັນໄປໄດ້ ແລະ ສະເໜີ ແຍກອອກຈາກ ລາຍການ /In-Eligible and reject from the prefer list

**ຫມາຍເຫດ :**

- ໃນກໍລະນີ ເປັນໄປບໍ່ໄດ້ ທີມງານ ເຫັນສົມຄວນ ສະເໜີ ຄະນະຮັບຜິດຊອບ ຍຸດຕິຂະບວນການ ແລະ ເອົາອອກຈາກບັນຊີລາຍຊື່ກິດຈະກຳທີ່ເປັນໄປບໍ່ໄດ້
- ໃນກໍລະນີ ເປັນໄປໄດ້ ທີມງານ ເຫັນສົມຄວນ ສະເໜີ ຄະນະຮັບຜິດຊອບ ເດີນຫນ້າ ບາດກ້າວຕໍ່ໄປ ຄື ບາດກ້າວທີ 5 ສືບຕໍ່ການອອກແບບ ກິດຈະກຳ ຫລື ຈັດກອງປະຊຸມປຶກສາຫາລືກັບຊຸມຊົນເພື່ອສະນັບສະຫນູນ ກິດຈະກຳ ໃນ ບາດກ້າວທີ 3 ແລະ ບາດກ້າວຕໍ່ໄປ.

ທີ່.....ວັນທີ.....

**ເຊັນ ຢືນຢັນ ການຕັດສິນໃຈຂອງຫົວຫນ້າທີມວິຊາການ**

**ຊື່ ແລະ ນາມສະກຸນ.....**

Annex 6: Manager Clearance Form



ສາທາລະນະລັດ ປະຊາທິປະໄຕ ປະຊາຊົນລາວ
ສັນຕິພາບ ເອກກະລາດ ປະຊາທິປະໄຕ ເອກກະພາບ ວັດທະນາຖາວອນ

ກະຊວງຊັບພະຍາກອນທຳມະຊາດ ແລະ ສິ່ງແວດລ້ອມ
ກົມຊັບພະຍາກອນນໍ້າ
ໂຄງການ M-IWRM ອົງປະກອບ 3.2

ແບບຟອມເອກກະສານສະສາງ ແລະ ຮັບຮອງເອົາແຜນກິດຈະກຳ ການລົງທຶນຂະຫນາດນ້ອຍ
INVESTMENT CLEARANCE AND ENDORSE FORM

ການກວດຜ່ານເອກະສານຂອງຫົວຫນ້າທີມວິຊາການ ແລະ ຫົວຫນ້າ ອົງປະກອບ 3.2
ໃນການຮັບຮອງແຜນ
CERTIFY AND ENDORSE BY TECHNICAL LEADER AND MANAGER CLEARANCE'S SIGN OFF

ຄຳຢືນຢັນຂອງຫົວຫນ້າ ທີມວິຊາການ ຫລືຜູ້ຮັບຜິດຊອບໃນການລວບລວມແລະ ກວດກາເອກກະສານ
Technical Team leader or in charge person on Investigator Signature Statement:

ອີງຕາມ ຜົນໄດ້ຮັບຈາກກອງປະຊຸມຄະນະປະສານງານ ຄັ້ງວັນທີ.....
ທີ່..... ພ້ອມດ້ວຍບົດບັນທຶກກອງປະຊຸມ ..... ແລະ
ໃບສະເໜີຈາກພາກສ່ວນກ່ຽວຂ້ອງຂອງເມືອງ/ແຂວງທີ່ຄັດຕິດມາພ້ອມນີ້, ຂ້າພະເຈົ້າ ໄດ້ກວດກາ
ອ່ານຜ່ານເອກກະສານທັງຫມົດ ທີ່ຄັດແບບມານຳນີ້ ແລ້ວ ແລະ ຍັງຢືນຢັນວ່າ,
ໂດຍການຮັບຮູ້ຂະບວນການທີ່ຜ່ານມາຈາກພາກສ່ວນກ່ຽວຂ້ອງ ແລະ
ຂໍ້ມູນພ້ອມທັງເອກກະສານປະກອບຈາກຜ່ານວິຊາການທີ່ດຳເນີນການຕາມຂັ້ນຕອນກັບກິດຈະກຳທີ່ສະເໜີໂດຍຄະນະ
ຮັບຜິດຊອບຂັ້ນເມືອງ ແລະ ແຂວງ ມານີ້ຮ່ວມກັບພາກສ່ວນຕ່າງໆໃນທຸກລະດັບ ແລະ ເຫັນວ່າມີຄວາມຖືກຕ້ອງ
ຕາມຜົນຈາກການສຶກສາຄວາມເປັນໄປຕາມຄວາມເປັນຈິງທາງວິຊາການ
ທີ່ຂ້າພະເຈົ້າໄດ້ຮັບຮູ້ມາລວມທັງເອກກະສານ ທີ່ສະນັບສະຫນູນ ກິດຈະກຳນີ້ເຫັນວ່າມີຄວາມຄົບຖ້ວນ
ຕາມເອກກະສານແນະນຳຂອງໂຄງການ ແລະ ທະນາຄານໂລກ ຈຶ່ງໄດ້ ເຊັນຢັ້ງຢືນເປັນຫລັກຖານໄວ້.
ທີ່..... ວັນທີ..... ລາຍເຊັນ.....
ຊື່ແລະນາມສະກຸນ.....

ລາຍເຊັນຮັບຮອງ ຂອງຫົວຫນ້າອົງປະກອບ 3.1.1 ຕີ: ຮັບຮອງ ບໍ່ຕີຮັບຮອງ
ທີ່..... ວັນທີ..... ລາຍເຊັນ.....
ຊື່ແລະນາມສະກຸນ.....
ຄຳເຫັນເພີ່ມເຕີມ.....

ເມື່ອເຊັນແລ້ວ, ບໍ່ສາມາດປ່ຽນແປງໃດໆ
ຈົນກວ່າຈະໄດ້ມີຫນັງສືສະເໜີຂໍຄວາມເຫັນປັບປ່ຽນເພີ່ມເຕີມຈາກພາກສ່ວນກ່ຽວຂ້ອງຢ່າງເປັນທາງການ
ONCE SIGNED, NO FURTHER CHANGES CAN BE MADE TO THIS CRF WITHOUT A SIGNED DATA

## **Annex 7 Financial Management Supporting Documents for Rural Infrastructure Support**

The List of documents is detailed below with samples

1. The final and approved Preference List clearly detailing all investment to be executed and the destination of execution
2. Minutes of meeting for approving the PL by the Committee
3. Detailed breakdown of the budgets associated with the activity that needs to be executed (Individual list per activity in the PL).
  - a. The detailed budget is needed by the FM Unit to firstly verify that the activity which is budgeted for is actually in the PL and
  - b. To check the arithmetic accuracy and the completeness of the budget. Also other relevant expenditure like transportation costs associated to delivering the goods to its final destination will also be reviewed
  - c. To send the reviewed budgets for approval
4. In certain cases three quotations are requested and the budget is clarified / confirmed upon the choosing of the desired supplier. In this case copies of the three quotations are needed as supporting documentations from which the least cost will be automatically selected as the supplier. Should there be a discrepancy in this least cost selection criteria there must be a written explanation as to the selection of an alternative supplier signed by the appropriate personnel in the KFMC / Committee
5. Authorized Invoice by the Supplier signed and other suppliers' letterhead.
6. Distribution List
  - a. This represents the list of all the recipients of the goods/livestock. A list is prepared with the family head's name , telephone number and signature and is counter signed by the Village Head and the appointed KFMC / Committee members and evidence of receipt and delivery
7. Progress Reports on invoices where multiple payments are involved
  - a. In some small civil work the invoice for the total amount may be paid in two installments which are directly related to the percentage of completion of the work. Usually two installments where the first installment during the commencement of the work and the final upon the satisfactory completion of the work which is certified by the KFMC/engineers/committee members
8. Official Payment Receipt. Upon payment the recipient should either give an official payment receipt or alternatively stamp on the official invoice as paid, dated and signature of the recipient as evidence of payment & receipt.

**Form I: Summary by Province / Period of PREFERENCE LIST**

Lao People's Democratic Republic  
Peace Independence Democracy Unity and Prosperity



Province: .....

Date:.....

**Summary of Province's Prioritized Investment List**

Rank of prioritized investment required for _____ District	Dimension/Scale				Budget	Approval	
	Unit	QTY	Size	Description			
1							
2							
3							
4							
5							
	Total Budget						

<b>Prepared By</b>	:	
<b>Verified By</b>	:	
<b>Approved By</b>	:	

**Form II: Summary MINUTES OF MEETING**

Lao People's Democratic Republic  
Peace Independence Democracy Unity and Prosperity



District: .....

Province: .....

Date:.....

### Summary of Province's Minutes of Meeting

No	Points discussed in the Provincial Meeting for establishing PL	Decision taken by Board/Committee	Person(s) responsible	Other Matters / Follow up investment
1				
2				
3				
4				
5				

**Signed and dated by all present****Approved by:**

**Form III: SAMPLE QUOTATION****Sample Quotation on Supplier Letterhead**

To :

Address :

Phone :

Item	Description	Unit Price	Quantity	Quality Verified	Total Amount
		TOTAL AMOUNT			

Signed By (Authorized Seller)



**Form IV: SAMPLE SUPPLIERS INVOICE**

SUPPLIERS" LETTERHEAD

OFFICIAL INVOICE

Reference No. \_\_\_\_\_

TO: \_\_\_\_\_  
 \_\_\_/\_\_\_/\_\_\_

Date:

No.	Description	Quantity	Price per Unit	Total Cost (KIP/US\$)
<b>Total Invoice US\$/KIP</b> <b>Exchange Rate USD to KIP:</b>				<input style="width: 100%; height: 100%;" type="text"/>

Signed and dated by authorized Vendor



**Form VI: OFFICIAL PAYMENT RECEIPT**

SUPPLIERS" LETTERHEAD  
OFFICIAL PAYMENT RECEIPT

Reference No. \_\_\_\_\_

TO: \_\_\_\_\_  
\_\_\_\_/\_\_\_\_/\_\_\_\_

Date:

No.	Description	Quantity	Price per Unit	Total Cost (KIP/US\$)
<b>Total Invoice US\$/KIP</b> <b>Exchange Rate USD to KIP:</b>				

DATE PAID:

PAYMENT METHOD:

Signed and dated by authorized Vendor

**Form I: Summary by Province / Period of PREFERENCE LIST**

Lao People's Democratic Republic  
Peace Independence Democracy Unity and Prosperity



Province: .....

Date:.....

**Summary of Province's Prioritized Investment List**

Rank of prioritized investment required for _____ District	Dimension/Scale				Budget	Approval
	Unit	QTY	Size	Description		
1						
2						
3						
4						
5						
	Total Budget					

<b>Prepared By</b>	:	
<b>Verified By</b>	:	
<b>Approved By</b>	:	

**Form II: Summary MINUTES OF MEETING**

Lao People's Democratic Republic  
Peace Independence Democracy Unity and Prosperity



District: .....

Province: .....

Date:.....

**Summary of Province's Minutes of Meeting**

No	Points discussed in the Provincial Meeting for establishing PL	Decision taken by Board/Committee	Person(s) responsible	Other Matters / Follow up investment
1				
2				
3				
4				
5				

**Signed and dated by all present****Approved by:**

**Form III: SAMPLE QUOTATION**

**Sample Quotation on Supplier Letterhead**

To :  
Address :  
Phone :

Item	Description	Unit Price	Quantity	Quality Verified	Total Amount
		TOTAL AMOUNT			

Signed By (Authorized Seller)

**Form IV: SAMPLE SUPPLIERS INVOICE**

SUPPLIERS" LETTERHEAD

OFFICIAL INVOICE

Reference No. \_\_\_\_\_

TO: \_\_\_\_\_

Date: \_\_/\_\_/\_\_

No.	Description	Quantity	Price per Unit	Total Cost (KIP/US\$)
<b>Total Invoice US\$/KIP</b> <b>Exchange Rate USD to KIP:</b>				<div style="border: 1px solid black; width: 100%; height: 20px;"></div>

Signed and dated by authorized Vendor





**Form VI: OFFICIAL PAYMENT RECEIPT**

SUPPLIERS" LETTERHEAD  
OFFICIAL PAYMENT RECEIPT

Reference No. \_\_\_\_\_

TO: \_\_\_\_\_

Date: \_\_/\_\_/\_\_

No.	Description	Quantity	Price per Unit	Total Cost (KIP/US\$)
<b>Total Invoice US\$/KIP</b> <b>Exchange Rate USD to KIP:</b>				

DATE PAID:

PAYMENT METHOD:

Signed and dated by authorized Vendor