

LAO PEOPLE'S DEMOCRATIC REPUBLIC
PEACE INDEPENDENCE DEMOCRACY UNITY PROSPERITY



Ministry of Public Works and Transport (MPWT)
The Department of Road (DoR) and
The Public Works and Transport Research Institute (PTRI)

Ethnic Groups Engagement Framework
(EGEF)

Second Lao Road Sector Project (LRSP2)
(LRSP2-AF)

Project No. (P170951)

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Abbreviations and Acronyms

AF	Additional Financing	MoNRE	Ministry of Natural Resources and Environment
ARAP	Abbreviated Resettlement Action Plan	MPWT	Ministry of Public Works and Transport
DMS	Detail Measurement Survey	OP/BP	Operation Policy/Bank Procedure
DoR	Department of Road	PAPs	Project Affected Persons
DONRE	District Office of Natural Resources and Environment	PONRE	Provincial Office of Natural Resources and Environment
DRC	District Resettlement Committee	PRO	Project Resettlement Office
		PRC	Provincial Resettlement Committee
EIA	Environmental Impact Assessment	PTRI	Public Works and Transport Research Institute
EG	Ethnic Groups	P/DPWT	Provincila and District Offices of Public Works and Transport
EGEF	Ethnic Groups Engagement Framework	RAP	Resettlement Action Plan
EGEP	Ethnic Groups Engagement Plan	RMF	Road Maintenance Fund
EDPD/P TRI	Environmental Research and Disaster Prevention Division of PTRI	RoW	Right of ways
ESMF	Environmental and Social Management Framework	RPF	Resettlement Policy Framework
ESOM	Environmental and Social Operations Manual	SA	Social Assessment
ESU	Environmental and Social Unit	SIA	Social Impacts Assessment
FMC	Feedback and Mediation Committee	VRC	Village Resettlement Committee
FPIC	Free, prior, and informed consultation	WB	World Bank
GoL	Government of Laos		
GRC	Grievance Redress Committee		
GRM	Grievance Redress Mechanism		
GRMS	Grievance Redress Mechanism Services		

IEE	Initial Environmental Examination		
Lao PDR	Lao People's Democratic Republic		
LAR	Land acquisition and resettlement		
LACR	Land acquisition and compensation report		
LRSP2	Lao Road Sector Project2		
LRSP2-AF	Lao Road Sector Project 2 Additional Financing		
LFND	Lao Front for National Development		
LRSP	Lao Road Sector Project		
LWU	Lao Women Union		

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1 Introduction

1. This document is the Ethnic Groups Engagement Framework (EGEF) of the second Lao Road Sector Project Additional Financing (LRSP2-AF, or AF, or the Project) which is being proposed for possible financing from the World Bank (WB). The EGEF is prepared by the Ministry of Public Works and Transport (MPWT) through the Department of Planning and Cooperation (DPC), the Public Works and Transport Institute (PTRI), the Department of Road (DoR), and other departments for possible financing by the World Bank (WB) and other donors.

1.1 The Project

2. The proposed LRSP2-AF builds on the achievements of the second Lao Road Sector Project (LRSP2) and is being prepared to support the Government of Lao PDR (GoL) in the management of the Lao road network. The Project will finance civil works in the form of routine and periodic maintenance and spot improvement to strengthen road climate resilient. The Project will undertake a programmatic approach towards physical investments with counterparts identifying candidate projects using technical and social criteria. The Project may also have parallel and complementary funding for civil works provided by other donors such as the European Investment Bank (EIB) and the European Union (EU). The Project will also undertake technical assistance activities including strengthening the capacity of the Ministry of Public Works and Transport (MPWT) to prepare and implement public-private partnerships¹—with a particular focus on addressing the climate change challenges that the road network is facing. The Project Development Objective (PDO) of the LRSP2-AF is similar to the LRSP2 project i.e. to strengthen maintenance systems to improve reliable road connectivity in Lao PDR and, in the event of an Eligible Crisis or Emergency, to provide immediate and effective response to said Eligible Crisis or Emergency.
3. The Project is envisaged to potentially be sector wide, with investments—particularly in routine maintenance—being expanded to all of the Lao PDR in the future. Seven provinces have been identified for implementation of the parent project: Phongsaly (PSL), Oudomxay (ODX), Xayabouli (XBL) Houaphan (HP), Xiengkhouang (XK), and Borikhamxay (BKK), and Attapeu. In 2019, MPWT proposed an additional financing for the routine and periodic maintenance and spot improvement to strengthen road climate resilient to the national road 13 south (NR13S) between BKK and Khammouane (KM) province using the Output-Performance Based Road Contract (OPBRC) and this is the main reason for the update of this safeguard policy framework on ethnic groups².

¹In accordance with the “Interim Guidelines on the Application of Safeguard Policies to Technical Assistance (TA) Activities in Bank-Financed Projects and Trust Funds Administered by the Bank” the parent project (LRSP2) has been classified as Category A for environment and safeguards since the PPP related activities arising from this technical assistance support in the future may lead to major environment and/or social impacts downstream when these activities are implemented. However, in 2017, the PPP road investment itself has been completed and the investment (NR13N) is being implemented as a separate project.

² As suggested by the client, the name Ethnic Group Development Framework (EGDF) used for the parent project was changed to the Ethnic Group Engagement Framework (EGEF)

1.2 Project Component

The Project components will be similar to those of the parent project with additional scope under Components 1 and 2 to cover the proposed NR13S subproject and additional TA. These components can be summarized in the below table:

LRSP2 (P158504) Current Components	LRSP2- AF (P170951) Proposed Changes
Component 1: Climate Resilient Road Maintenance	C1: Climate Resilient Road Improvement and Maintenance
<i>Component 1.1 Periodic Maintenance and Spot Improvements</i>	<i>Component 1.1 Periodic Maintenance and Spot Improvements</i>
Carrying out climate-resilient periodic maintenance and spot improvements of provincial and district roads in the Target Provinces.	No changes proposed.
<i>Component 1.2 Routine Maintenance</i>	<i>Component 1.2: Routine Maintenance</i>
Carrying out routine maintenance of provincial and district roads in the Target Provinces.	This component will be revised to drop the DLI, which has been designed for the routine maintenance component under the parent project. PBC has instead been introduced for this component.
<i>Component 1.3 Design and Supervision</i>	<i>Component 1.3 Design and Supervision</i>
Provision of technical and operational assistance for the design and supervision, procurement, quality assurance, contract management, and other technical management of the works carried out under components 1.1 and 1.2 of the project.	The sub-component will be revised to add more resources to support MPWT to design and supervise the improvement and maintenance of NR13 S works through financing the consultancy for supervision of road improvement works during the construction period and supervision of the initial post-construction maintenance and operation until project closure. As part of activities included under this sub-component, the supervision consultant will develop quality assurance mechanisms, as well as provide on-the-job coaching and technical training for MPWT and DPWT on contract management and quality control related to the improvement and maintenance of NR13 S.
<i>Component 1.4: Tropical Storm Son-Tinh Emergency Repair and Disaster Recovery</i>	<i>Component 1.4: Tropical Storm Son-Tinh Emergency Repair and Disaster Recovery</i>
This sub-component was added under the first project restructuring which became effective on November 2, 2018.	No changes proposed.
	Component 1.5: Climate resilient improvement and maintenance of the National Road 13 South (New Sub-component).
	The new subcomponent will finance the improvement, enhanced climate resilience and maintenance of NR13 S sections in Borikhamsay and Khammouane with a total length of approximately 58 kilometers. OPBRC will apply for road improvement and maintenance.

Component 2: Institutional Strengthening	Component 2: Institutional Strengthening
<i>Component 2.1 Strategic Planning and Financing</i>	<i>Component 2.1 Strategic Planning and Financing</i>
Carrying out of a program of activities to: (a) strengthen the capacity to update and operationalize MPWT's national sector strategy and action plan; (b) strengthen the capacity to improve transport sector policy and financing frameworks; and (c) strengthen the capacity for strategic management at both MPWT and DPWT.	This sub-component will be revised to add more resources to support MPWT to further develop and roll out the strategic planning into provincial level.
<i>Component 2.2 Sector Governance</i>	<i>Component 2.2 Sector Governance</i>
Carrying out of a program of activities to: (a) improve the integrated road asset management system (IRAM); (b) upgrade and roll out the road sector information and communication technology system including (i) e-archive, (ii) e-procurement, and (iii) information disclosure and citizen engagement; (c) upgrade the accounting system and expenditure tracking tools in the road sector; (d) strengthen the internal control systems of provincial road authorities; and (e) strengthen overloading control through the provision of a weighting station on national road NR13 in Borikhamxay province.	This sub-component will be revised to add more resources to further support internal control and financial management of MPWT and roll out into provincial level.
<i>Component 2.3 Climate Resilient Road Asset Management</i>	<i>Component 2.3 Climate Resilient Road Asset Management</i>
Carrying of a program of activities: (a) for financing by NDF to (i) develop MPWT's climate change action plan; (ii) operationalize hazard maps into practical vulnerability maps for planning of road infrastructure maintenance or investments; (iii) review and update current tools for road management and maintenance planning; (iv) prepare a medium-term climate resilient national road preservation plan; (v) review and update road sector designs, standards and guidelines to incorporate climate-resilience aspects; and (vi) design mechanisms to strengthen emergency road repair management; and (b) for financing by IDA to carry out annual field surveys to include necessary data in the road management information systems for risk-based planning.	This sub-component will be revised to add more resource to further support MPWT in data collection and supervision of climate resilient road works in provinces as well as NR13 S improvement and maintenance. The sub-component will also add provision of boats to villages located in flood-prone areas for emergency usage during flooding.
<i>Component 2.4 Capacity Building</i>	<i>Component 2.4: Capacity building</i>
Carrying out of a program of activities to: (a) strengthen the operating, fiduciary and human resource systems of MPWT and provincial and district road authorities; (b) strengthen the capacity of MPWT and other relevant government agencies to assess and manage the technical, environmental and social aspects of potential future public private partnerships (PPP) and PBC modalities in the road sector; (c) develop or update environmental and social management manuals and procedures in the road sector; and, (d) develop and implement traffic safety action plans, audit manuals, training programs and public awareness raising campaigns.	This sub-component will be revised to add more resources to the carry out of a program of activities to: (a) strengthen the operating, fiduciary and human resource systems of MPWT and provincial and district road authorities; (b) strengthen the capacity of MPWT and other relevant government agencies to manage the technical, environmental and social aspects of OPBRC contract implementation; and, (c) enhance environmental and social monitoring.

	The technical assistance activity regarding the PPP has been completed and no resources will be allocated under the Additional Finance to prepare a PPP.
Component 3: Project Management	Component 3: Project Management
Provision of technical and operational assistance for the day-to-day management, monitoring and evaluation of the project, and the carrying out of technical and financial audits.	This sub-component will be revised to add more resources for technical and operational assistance for the day-to-day management (including but not limited to financial management, procurement and safeguards training and advisory support), monitoring and evaluation of the project, and for carrying out of technical and financial audits. Contingency has been reserved under this sub-component.
Component 4: Contingent Emergency Response:	Component 4: Contingent Emergency Response:
A CERC with a provisional allocation of zero dollars is included under the project in accordance with OP10.00, Paragraphs 12 and 13, for projects in situations of urgent need of assistance or capacity constraints. This will allow for the rapid allocation of project proceeds in the event of the Government declaring that a crisis or emergency has occurred and the World Bank agreeing with such determination. This component would finance public and private sector expenditures on a positive list of goods and/or specific works, goods, services and emergency operation costs required for emergency recovery. An Emergency Response Operations Manual will apply to this component, detailing financial management, procurement, safeguards and any other necessary implementation arrangements.	No changes proposed.

4. The Project will be implemented using Government systems. MPWT will be the implementing agency with the overall management and coordination of the Department of Planning and Cooperation (DPC). DPC will also be responsible for ensuring that the implementation report of the Project comprises a section on safeguards implementation. The Department of Roads (DoR) will be responsible for planning and implementation of road related activities under Component 1. DoR will work in close coordination with and provide technical support to the provincial P/DPWTs in the Project provinces tasked with carrying out the works and supervision, and with the Public Works and Transport Research Institute (PTRI) tasked with road asset data collection and analysis and overall supervision and monitoring of the implementation of environmental and social safeguards.
5. The Environmental Research and Disaster Prevention Division (EDPD) of PTRI (EDPD/PTRI) will continue to play the key role as the lead agency in the implementations of the ESMF. The EDPD/PTRI will also lead safeguards supervision and monitoring at the project level including six month and annual monitoring and preparation of the six month and annual safeguard monitoring report. The EDPD/PTRI will be responsible for providing safeguard training, ensuring effective mainstreaming of safeguard requirements into the road development project cycle, and undertaking research activities including updating the Environment and Social Operation Manual (ESOM) in close consultation with Ministry of

natural Resources and Environment (MoNRE), other concerned agencies and the WB. The DoR will be responsible for ensuring that safeguard requirements are mainstreamed in road maintenance planning, design and pre-construction works including tendering and contracting process. At subproject level, P/DPWT is responsible for implementation of safeguard activities including undertaking day-to-day monitoring of safeguard measures to be carried out by contractors. The P/DPWT of the Project provinces will establish the Environmental and Social Unit (ESU) specifically for the road sector to be responsible for safeguards. ESU/P/DPWT will be responsible for carrying out monthly monitoring of contractors and implementation of other safeguard measures including preparation of safeguard monthly monitoring report to be submitted to EDPD/PTRI. The EDPD/PTRI, and ESU/P/DPWTs will be responsible for keeping proper documentations for possible review by the WB. The Department of Transport (DoT) will be responsible for implementation of the road safety program to be implemented under the Project. More details of Roles and Responsibilities on Safeguards are described in the Environmental and Social Management Framework (ESMF).

1.3 Need for EGEF

6. Among the proposed LRSP2 AF activities, the road maintenance and climate resilient subprojects to be implemented under Component 1 might involve potential land acquisition and/or resettlement impacts and/or ethnic minority (such as Hmong, Khmu, Mien, Makong, Bru and others) who are known in Lao PDR as Ethnic Groups (EGs) and meet WB eligibility criteria under OP/BP 4.10. Other donors may have their own eligibility criteria. In case of discrepancies identified under this Project, the World Bank policy and criteria will prevail. To mitigate these impacts, OP/BP 4.10 require that special planning measures be established to protect the interests of ethnic groups (i.e. social groups with a social and cultural identity distinct from the dominant society that makes them vulnerable to being disadvantaged in the development process). The EG are considered to be vulnerable ethnic communities in Lao PDR as their livelihood is heavily based on land, subsistence agriculture and forest. The presence and involvement of these EG triggers the WB operational policy on Indigenous Peoples (OP/BP 4.10). As a prerequisite to WB support, the Project must meet the requirements of OP/BP 4.10.
7. The 6 pilot provinces covered by the parent project plus two provinces are located in remote areas and mostly with limited road access it is likely that the subproject may be located in areas which are home to ethnic populations. Given that the Project aims to improve quality, stability, and safety of existing provincial and district roads and climate resilient, all local population, including ethnic communities, will collectively benefit from the Project. However minor impacts may also occur and need special mitigation measures. OP/BP 4.10 requires for screening of EG community in the subproject area and if they are present as a group or community, preparation of an Ethnic Group Engagement Plan (EGEP)³ will be prepared and applied. Free, prior, and informed consultation (FPIC) will be required when

³ In Lao PDR, the term Ethnic Groups is used for ethnic minority and the term Ethnic Groups Engagement Plan is used for the Indigenous Peoples Development Plan (IPDP) as required by OP/BP 4.10.

minority EG is involved during the planning and implementation to establish ethnic community broad support for the project. However, there were some individual ethnic people observed as a family or married with members of majority community and they were interviewed during the consultation process. In such circumstance, an EGEP may not be required for individual IPs who are assimilated into the mainstream community. They may be covered by inclusive and meaningful consultation to ensure that their concerns and view are heard and reflected in the project design and safeguard instruments.

8. Given that all the subproject works and locations are not known before appraisal and thus ethnic people are still to be identified an Ethnic Groups Engagement Framework (EGEF) has been developed describing the policy and procedures for consultation (FPIC) for the subprojects to ensure that the EG can voice their concerns and their opinions are heard throughout the project preparation and implementation process⁴. Need for preparation of an EGEP will be identified during the safeguard screening to be conducted as part of the road maintenance investment plan which will be prepared annually. The EGEF is an integral part of the Environment and Social Management Framework (ESMF) prepared for the Project. Potential impacts due to TA activities will be addressed under ESMF.

2 Project Description Related to OP/BP 4.10

9. Under the Component 1, road maintenance and climate resilient works to be carried out under will potentially include periodic maintenance, spot improvement, and routine maintenance through performance-based contracts. Spot improvement of critical sections aims to improve the roads' climate resilience and may include elevating flood prone road sections, paving road sections with steep slopes and sections passing through large communities, drainage improvement/ construction, and slope improvement/stabilization. Given the limited size of the investment and low traffic volume, spot improvement activities would be carried out only on critical sections of the existing carriageway, not the whole road, within the existing right of way and may involve minor re-alignments to improve road safety and strengthening road climate resilience. Periodic maintenance would include re-gravelling and re-sealing of existing roads, and routine maintenance would include drainage cleaning, patching of potholes, clearing of roadside vegetation, light grading, etc. For the proposed additional NR13S subproject, initial visit suggested that 1-2 EG communities will be involved and EGEF will be prepared and implemented during the implementation of the AF.

3 Policy, Legal, and Institutional Settings

3.1 Government Policy, Plan, and Program

10. GOL policy and plan for poverty reduction: In Lao PDR, GoL aims to eradicate the poverty with a target of reducing 50% of the poverty households by 2010 and 0% by 2020. To

⁴ The consultation procedure is in line with the National Guidelines on Consultation with Ethnic Groups in Lao PDR which was established in 2013 by the Lao Front for National Development (LFNC) which is responsible for overseeing all matters related to ethnic communities in Lao PDR.

achieve this objective, a number of policies, plans, and programs have been implemented and those related to ethnic communities include support for food security, commercial agriculture production, rural development, infrastructural development, external economic relations, and improve access to services. Since 2000, villages are responsible for data collection on the living condition of families. Data suggested that Mon-Khmer and Hmong-Iew Mien and Sino-Tibetan ethnic communities are the poorest mostly living in remote areas with poor accessibility in the country and identifies several causes of poverty including problems pertaining in land availability for food production and income generation.

11. GOL Policy and Legislative Framework on Ethnic Community: The 1991 Constitution defined Lao PDR as a multi-ethnic state, with “equality among all ethnic communities” as described in the Constitution and the party policy as follows:

- The Constitution of Lao PDR (1991) defines that all "citizens of all ethnicity" have rights in education, health, land use and ownership, domicile of choice, and economic development regardless of sex, religion, social status, education, or ethnicity; as well as freedom of religion, freedom of speech; freedom to peacefully assemble and to protest. All citizens have the right to work and carry out their chosen livelihoods. Articles 8 and 22, guarantee that there will be no discrimination on the basis of ethnicity or gender. Articles in the Constitution where ethnic People are specifically mentioned are as follows: Article 1 – Lao PDR is a nation unified and indivisible of all ethnic communities; Article 2 - all power is of people, by people, and for the use of the multi-ethnic people; Article 3 - the right of a multi-ethnic people to be owners of the nation is exercised and guaranteed by the political system; Article 7 - mass organizations are the focal point for the solidarity and mobilization for citizens of all backgrounds and ethnicity as participating members in the safeguarding and edification of their rights and interests. All ethnic communities have the right to preserve and improve their own traditions and culture and those of the nation. Discrimination between ethnic communities is forbidden. The state will carry out every means in order to continue to improve and raise the economic and social level of all ethnic communities; Article 13 - the economic system is for the purpose of improving the standard of living, materially and spiritually, of a multi-ethnic people.
- The 1992 ethnic policy, *Resolution of the Party Central Organization concerning Ethnic Affairs in the new Era*, focuses on gradually improving the living conditions of the ethnic communities, while promoting their ethnic identity and cultural heritage. The general policy of the Party concerning the ethnic communities include: Build National Sentiment (national identity); Realize Equality among ethnic communities; Increase the Solidarity Level among ethnic communities as members of the greater Lao family; Resolve Problems of Inflexible and Harmful thinking, as well as economic and cultural Inequality; Improve the living Conditions of the ethnic communities step by step; Expand, to the greatest extent possible, the good and beautiful Heritage and ethnic Identity of each group as well as their Capacity to participate in the affairs of the nation.

12. Other GoL related policy and legislation: Given that most of ethnic minorities depends on subsistent agriculture and natural resources, they are also affected by other polices, and

legislation related to land use and management of natural resources and the key ones are highlighted as follows:

- *The 2003 Land Law*: The GoL considers Land as the National Community Property that is administered by the State for use and as a mean for all Socio-Economic Development. All the lands must be used effectively and to be based on the macro-level and micro-level development planning. There is no personal ownership of land, but the citizens are allowed to use it and have a customary right to its resources. The Land Law also stipulates that, in case of public infrastructure development projects cause damages to trees, crops or buildings of the private owners, the land owners have the rights to be compensated for the damages. Ethnic communities maintain land tenure user rights equal to all Lao citizens with certain specifications and even preferential access and customary user rights to certain forest products (Forestry Law, Article 30; MAF Regulation 535; MAF Orders 54 and 377). Customary rights on land use among the ethnic communities are passed down from generation to generation. Traditionally, no land titles were involved and no boundaries were officially demarcated. In remote rural areas, these customary rights are still practicing to the acceptance of the local authorities widely. Many ethnic communities have traditionally recognized certain areas of forest as sacred forest sites. In addition, among ethnic communities, individuals or households were considered to be the owners of specific trees, such as those used for resin-tapping or that may have ancestral spiritual significance. These are important aspects of village cultural and economic life that need to be investigated and strictly respected. The revised Land Law was passed with some further comments by National Assembly (NA) in June, 2019. Thus, further work and edits are still to be done before it can be signed by the President of NA and endorsed by the President expected in late 2019.
- *Compensation and resettlement (Decree 84/PM, 2016)*: This Decree aims to protect the right of affected peoples by investment projects include ethnic minorities. The decree aims at ensuring that the losses incurred by affected people are redressed such that Affected Persons share project benefits, are assisted to develop their social and economic potential in order to improve or at least restore their incomes and living standards to pre-project levels. The decree however being revised in line with the current institutional arrangement and improve implementation effectiveness. The Project may involve minor or temporary land acquisition for road maintenance work in some areas where ethnic minority groups or communities reside. No major loss of land is anticipated because the work will be carried out within existing road alignment and may involve minor realignments without significant expansion, which may affect trees and other roadside private assets. The existing Compensation and Resettlement Policy Framework (CRPF) designed and applied under the LRSP2 continues to be applicable for AF to ensure that the ethnic groups are not adversely affected and their livelihood is not worst off as a result of project implementation.

3.2 Institutional Arrangements

13. Key organizations responsible to implement the above policies are as follows while GoL agencies and provinces are responsible for compliance of the policy, plans, and regulations related to ethnic communities established by these organizations:
- The “Ethnic Communities Committee” under the National Assembly, is in charge of drafting and evaluating all legislation concerning ethnic communities, lobbying for its implementation and the implementation of its socio-economic development plans.
 - The “Institute for Cultural Research” under the Ministry of Information and Culture, is responsible for carrying out all ethnic research activities.
 - The “Lao Front for National Development (LFND) formerly known as Lao Front for National Construction (LFNC)” as the mass (political) organization, is the lead institution for ethnic affairs focusing on training and capacity building
 - The “Department of Ethnic and Religions” under the responsibility of Ministry of Interior which is responsible for development and dissemination of information related to rules, and regulations on ethnic peoples.

3.3 World Bank Policy on Indigenous People (OP/BP 4.10)

14. Indigenous Peoples (OP/BP 4.10): These instruments represent the World Bank’s commitment to poverty reduction and sustainable development by enshrining respect for the cultures, environments, economies and rights of indigenous peoples. The OP/BP 4.10 requires that the projects affecting indigenous peoples (IP) must ensure: (a) IPs are engaged in an a process of free, prior and informed consultation; (b) The consultation process results in broad community support for the project; (c) Social analysis is undertaken to ensure potential impacts on IPs are identified; and (d) An IP plan is developed to ensure IPs receive culturally appropriate project benefits, and that adverse impacts are avoided, minimized, mitigated, or compensated. It also mentions that where IPs are the sole or overwhelming majority of project beneficiaries, a separate IP Plan is not required, and that requirements outlined above be integral to the project documents as appropriate. The “Indigenous Peoples” as described by World Bank is not commonly used in Lao PDR, but after discussion it has been agreed that the official terminology “Ethnic Group” (EG) can be used to represent small groups of ethnic communities and the term “Ethnic Group” will be used throughout this report.

4 Social Assessment and Potential Impacts

15. A quick social assessment was conducted by reviewing reports and documents related to EG and potential impacts due to road development in Lao PDR during the past 10 years and discussion with WB specialists on EG issues. Key findings are briefly summarized below.

4.1 Ethnic Community National Profile and Classification

16. Lao PDR is a cultural-diverse country. Although the Lao language is the official language, other ethnic languages are still used among different ethnic groups. Most ethnic groups do not have the written language and their traditional customs and religious beliefs vary according to the ethnic groups they belong to. Buddhists form the big majority and they mainly belong to the general Lao peoples.

17. In order to adapt to the new changes and bring forth unity among various ethnic communities in Lao PDR, the LFNC identified 49 ethnic categories and more than 160 ethnic sub-categories. The official terminology uses in the Constitution for describing the diverse population of the Lao PDR has been “Banda Phao” or “all ethnic communities”, while the name of the groups is normally used to classify the EG. According to LFNC, the Lao ethnic communities are categorized into four ethno-linguistic communities as below:

- The “Lao-Tai” (also referred to as “Tai-Kadai”), which includes the dominant “Lao ethnic communities” and the “lowland Tai” speaking communities. The “Lao-Tai” consists of 8 ethnic sub-communities as in *Table 1*.

Table 1: List of Ethnic Community under Lao-Tai Linguistic Group

	Sub-Ethnic		Sub-Ethnic		Sub-Ethnic
1	Lao	4	Tai	7	Phutai
2	Leu	5	Nhuane	8	Yang
3	Xaek	6	Tai neua		

- The second linguistic group is “Austro-Asiatic, also called Mon-Khmer” group, which consists of 32 ethnic sub-groups (*Table 2*).

Table 2: List of Ethnic Groups under Mon-Khmer Linguistic Family

	Sub-Ethnic		Sub-Ethnic		Sub-Ethnic
1	Khmou	12	Phong	23	Bid
2	Pray	13	Thene	24	Lamed
3	Xingmoon	14	Eudou	25	Samtao
4	Katang	15	Makong	26	Taoey
5	Yru	16	Triang	27	Katu
6	Yae	17	Brao	28	Kriang
7	Hahak	18	Oey	29	Suay
8	Jeng	19	Kadang	30	Pako

9	Nhaheun	20	Lavy	31	Nguane
10	Kmer	21	Toum	32	Tri
11	Moy	22	Kree		

- The “Hmong-Iomien” group which consists of 2 ethnic subgroups: Hmong and Lomien (Lomien is also called Yao) (Table 3).

Table 3: List of Ethnic Group under Hmong-Lomien Linguistic Family

	Sub-Ethnic		Sub-Ethnic		Sub-Ethnic
1	Hmong	2	Iomien		

- The “Chinese-Tibetan” (also referred to as “Sino-Tibetan”), which includes the Chinese and Tibeto-Burman Ethnic Community and consists of 7 ethnic subgroups (Table 4).

Table 4: List of Ethnic Groups under Chinese-Tibetan Linguistic Family

	Sub-Ethnic		Sub-Ethnic		Sub-Ethnic
1	Akha or Ko	4	Phounoy	7	Lolo
2	Sila	5	Lahou		
3	Hor	6	Hayi		

18. Only those ethnic groups under the Lao Tai ethno linguistic family are not defined under the Bank policy (OP/BP 4.10) and thus not covered by this EGEF.

4.2 Ethnic Groups in Project Provinces

19. Challenges: Most Ethnic Groups in Lao PDR are poor and disadvantaged. Despite the efforts made by the GoL institutions to improve the socioeconomic conditions of these peoples, many of them still lag behind other Lao peoples especially in terms of poverty rates, literacy and health. Many ethnic groups still cannot speak and read Lao language and thus unable to effectively make use of schools and health clinics, which have only Lao speaking staff. Most of the ethnic groups are staying in the remote areas of the country and difficult to reach for proper village development. Most of these peoples live on subsistence agriculture while efforts are being made by GoL and development partners to promote additional practices on handicrafts and local trade. Background information on the Project provinces is presented in ESMF Annex 1 and those related to ethnic communities are briefly summarized in Appendix 1).
20. However, although it is well accepted that Hmong, Khmu, Mien, Makong, Bru and others are considered as an EG and most of them living in and around national protected areas of the target provinces, detailed information on ethnic communities and ethnic groups in the Project provinces is lacking. It is expected that detailed information for other provinces

will be collected when preparation of EGDP for the subproject is required. Nonetheless review of the EGDP prepared for Phongsaly⁵ suggested the following ethnic structure:

- Survey suggested that there were 28,946 households in Phongsaly province, with average household (5.7 persons/HH) of which around 89% are ethnic communities of which 48% belonging Sino-Tibetan language communities; 23.4% being Mon-khmer language group, and 7.2% as Hmong-mien language group. Among 557 villages in 7 districts, there are 458 villages (82%) with at least over 79% of population as ethnic communities. Most of them (269 villages) belong to Sino-Tibetan language communities and remaining 189 villages belonging to Mon-khmer and Hmong-mien language communities. Among those 99 villages of Lao-Tai language communities, 79 villages (80%) are ethnic communities other than Lao. There is a high concentration of poverty households in Phongsaly Province, and about 60% of villages were considered as poor villages and over one quarter of households is considered as poverty households. There is similar proportion of poverty villages and poverty households in the LRSP project affected areas.

4.3 Potential Project Impacts on the Ethnic Groups

21. *Potential Positive Impacts:* Implementation of the Project will be positive. As road maintenance will benefit rural residents by improving access and serviceability and reducing road closures due to slope failure or flooding. The closures directly affect access to basic services, and markets, and negatively affect incomes and livelihoods. In addition, strengthening central-local coordination and the capacities of MPWT for strategic planning, integration of climate change adaptation into sector strategies, enhanced coordination between central and local levels, governance and accountability, monitoring and evaluation, and coordination with development partners will enhance sustainability of road access. Ethnic communities and ethnic groups will benefit from improving quality of road maintenance and will be served by the roads. In area where surfacing is made, dust generation will be significantly reduced and improve health of local residents. Results from the consultation with local authorities and communities in pilot project areas of Borikhamxay and Xayabouly during the preparation of LRSP2 confirmed the appreciation of local peoples and local support.
22. *Potential negative impacts:* Potential negative impacts of the Project will be minor, short term and temporary. Initial assessment suggested that key concerns may be limited to an increase in dust, noise, wastes, local traffic, road safety, and nuisance during construction and road safety during operations. Road construction works may disrupt the communities in the vicinity of the right of way as there will be an influx of workers, increased traffic of heavy machinery, potential damages to private property, and conflicts with the local

⁵ Phongsaly Province is located in the north part of the country bordering with China and Vietnam. Preparation of an EGDP was conducted for the National Road 1 B as part of an upgraded road including paving of road surface.

population. These impacts will be mitigated through effective management and supervision of contractors, improvement of road safety signs, and implementation of road safety measures by local communities. Implementation experience under the completed LRSP suggested that these impacts during construction could be adequately mitigated through close supervision and monitoring of contractors. Implementation experience under the on-going LRSP2 remain limited due to the fact that year 1 subprojects do not involve any EG. Based on the proposed list of road subprojects and communities to be potentially affected, it is expected that an EGDP may have to be prepared for year 2 subproject.

5 EGEF Principles and Procedures

5.1 Basic Principles of the EGEF

23. The basic principles of the EGEF to be applied to the LRSP2-AF6 will be as follows:

- **Scope:** Ethnic group peoples can be identified in particular geographical areas by the presence in varying degrees of the following characteristics: (a) a close attachment to ancestral territories and to the natural resources in these areas; (b) self-identification and identification by others as members of a distinct cultural group; (c) an indigenous language, often different from the national language; (d) presence of customary social and political institutions; and (e) primarily subsistence-oriented production.
- Based on the above characteristics, there are many ethnic groups in Laos. According to LFND classification, four linguistic groups with 49 ethnic categories (see section 4.1) will be applied. They are Lao-Tai, Mon-Khmer, Hmong-lomien, and Sino-Tibetan groups. The Bank has determined that OP/BP 4.10 will apply to at least three linguistic groups except for Lao-Tai, who still maintain cultural and socioeconomic practices different than those practiced by the Lao national majority.
- In the context of this Project, it is important to note that the OP/BP 4.10 refers to social groups and not to individuals. The primary objectives of OP/BP 4.10 are: (a) to ensure that such groups are afforded meaningful opportunities to participate in planning that affects them; (b) to ensure that opportunities to provide such groups with culturally appropriate benefits are considered; and (c) to ensure that any project impacts that adversely affect them are avoided or otherwise minimized and mitigated.

24. To ensure that all communities are consulted properly, the following principles will be considered during the data collection and FPIC process of the subprojects (see Section 5.3)

- All communities will be approached in the spirit of honest and constructive collaboration, and clearly explained about the rationale for road safety, and of the subproject's purpose, activities, potential benefits and potential losses.

⁶ The principles are similar to the EGPF being applied to the on-going LRSP.

- All communities, regardless of their ethnic group or social status, will be engaged in an inclusive and culturally relevant manner on the basis of a free, prior and informed consultation aimed at establishing broad-based and sustainable community support for the subproject.
- All communities will be informed by the responsible P/DPWT throughout the subproject implementation through appropriate means of information, education and communication. If needed, communication throughout the subproject cycle will use appropriate information, education, and communication materials to respond to issues of language and ethnicity, literacy/illiteracy, gender, and social vulnerability.
- All communities will have the opportunity to participate in and benefit from the subproject as well as take on the responsibility to adhere to road safety rules and sustainable road maintenance.
- Subprojects will give sufficient attention to encourage women to play an active role in the consultation process. During implementation, the women will be: (a) consulted and their concerns addressed; (b) given the opportunity to participate in community group meetings, focus group discussions, planning and implementation; and (c) represented equally in the Grievance and Redress Committees (GRCs).

5.2 EGEF Objective and Procedure

25. This EGEF has been prepared in order to provide some general principles and procedures that will be applied during project implementation, if ethnic groups are reported in any of the subprojects. Therefore, the purpose of the framework is for ensuring that FPIC is allied and that ethnic groups is given a voice and an opportunity to participate in the Project. To achieve this objective, the key 4 steps will be carried out below.

Step 1: Screening for ethnic people among beneficiary populations

26. The Project has been designed to recognize that a ‘meaningful’ participation by poor and disadvantaged groups of people in a society requires special focus that goes beyond routine project implementation management. In the Environment and Social Operation Manual (ESOM) for MPWT, detailed screening criteria and guidelines on social assessment and resettlement aspects are included. Under the Project, the subproject will be subject to safeguard screening in accordance with the ESMF during selection of subprojects stage which will be carried out as part of the annual work plan preparation.
27. However, since the investments will be limited to road maintenance (periodic and routine) of the existing national, provincial and district roads and spot improvement to address climate resilient and/or safety the activities will be carried out mostly within the existing rights-of-way (RoW), a quick assessment will be undertaken to identify and/or re-confirm the following:
- The local agencies especially the provincial and district PONRE/DONRE, LFND, and LWU are aware of the subproject and willing to actively participate during the subproject implementation;

- The local community located within 100 m from the RoW are informed/consulted and majority support the subprojects;
- The number of local communities and/or individual to be negatively affected by the subproject activities due to land acquisition, relocation of assets/trees, and/or restriction of road access; and
- The safeguard screening and consultation process will provide guidance on scope of data collection on social and economic and technical aspects of each subproject. If the social screening and consultation confirms that no ethnic group populations exist in the project areas, no further action is necessary. If the safeguard screening and consultation indicate that there are potential social issues because of ethnic group populations in such subproject, the provincial and district offices of DPWT (P/DPWT) will consult EDPD/PTRI and/or donors for guidance.

28. The Project is committed and will ensure that local communities are (i) consulted in matter relating to each subproject, (ii) provided opportunities for participation in decision making related to the subproject, and (iii) provided opportunities for participation in subproject activities should they so desire.

Step 2: Principles and procedures applied where the subproject involves ethnic groups

29. If the ethnic groups is among beneficiary populations and/or will be negatively affected by the subproject, a basic social economic profile of beneficiary population or project affected people will be developed by collecting both qualitative and quantitative data in the project areas from local authorities and consultation with the ethnic groups with an aim that all ethnic groups can voice their concerns and their opinions are heard throughout the project preparation and implementation process. Special attention will be given to hear voices from women and disadvantages peoples. Consultation with the ethnic groups will also be in line with the national guideline on ethnic group consultation issued in 2013 by the LFND.
30. The P/DPWT of the with technical guidance from the EDPD/PTRI of MPWT will ensure that full consultation, in a language spoken by the ethnic groups, and invite participation of ethnic groups are fully taken into account during preparation and implementation of subprojects, while respecting their current practices, beliefs and cultural preferences. The outcome of the consultations will be documented into the project documents. Section 5.3 provides more details on the consultation framework and procedures.
31. If the ethnic people conclude that the project will be beneficial, or non-harmful to their way or life or cultural beliefs, and the adverse impacts are minimal measures and assistance will be developed based on consultation with ethnic groups and local LFND. The community should also be consulted to ensure that their rights and culture are respected. The assistance may also include institutional strengthening and capacity building of ethnic villages and community groups working with the subproject.

Step 3: Reporting, Monitoring, and Documentation

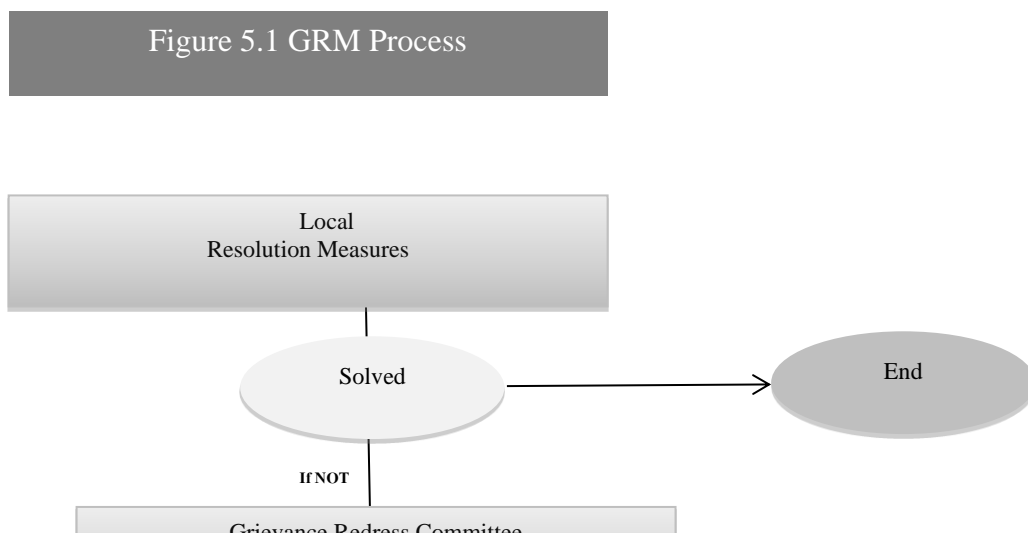
32. ESU/P/DPWT will keep all documents related to safeguard screening, consultation, and social assessment (if warranted) in the subproject file for possible review by EDPD/PTRI and/or donors. EDPD/PTRI will monitor the implementation of the safeguard screening, quick social impact assessment, and consultation process of the subprojects periodically and include the results in the six month and annual monitoring reports. The donor supervision missions will periodically pay special attention to ensure that the subproject affords benefits to vulnerable groups and ethnic minorities.

5.3 Consultation Framework for Ethnic Groups under EGEF

33. The consultation framework aims to ensure that ethnic groups are well informed, consulted and mobilized to participate in the subprojects so that clarity could be provided regarding the potential benefits as well as potential negative impacts. Consultation with EG will be made during the preliminary screening process and the development and implementation of an EGDP if needed. Consultations with and participation of ethnic groups, their leaders and local government officials will be an integral part of the EGDP. Scope of the EGDP should include preliminary screening, social assessment, mitigation measures, development assistance, and monitoring and EDPD/PTRI will provide training to ESU/P/DPWT if preparation of an EGDP is needed.
34. *Preliminary Screening:* As mentioned above (Step 1) that safeguard screening form being used under ESOM is provided in ESMF. Specific procedure for consultation during the preliminary screening is highlighted as follows:
- All subproject areas which have ethnic group communities and are candidates for the Project support will be visited (at the time of first consultation with communes) by P/DPWT and EDPD/PTRI, relevant local authorities, and consultants (if any).
 - Prior to the visit, respective P/DPWT and/or EDPD/PTRI will send a letter to the communities informing their leaders that they will be visited by the respective P/DPWT and/or EDPD/PTRI and local authorities and consultation will be conducted on the subproject. The letter will request that the communities invite to the meeting representatives of farmers, women associations and village leaders for discussion on the subproject. During the visit, the community leaders and other participants will present their views with regards to the subproject.
 - At this visit, the social scientists (EDPD/PTRI and/or consultants) will undertake a screening for ethnic minority 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; (d) number and percentage of ethnic households along the zone of influence of the proposed sub-Project.
35. If the results show that there are ethnic group communities in the zone of influence of the proposed subproject, a social impact assessment will be planned for those areas.

5.4 Grievance Redress Mechanism (GRM)

36. The ESMF describes the GRM in detail. GRM is built on the existing national system with Village Mediation Unit/Committee in place in all villages and fiduciary structure from the district to national levels. Grievances related to environmental and social issues from ethnic groups that result from Project activities will be resolved by the Grievance Redress Committee (GRC) through the Project GRM presented in Figure 1 in general. However, the complainant also retains the right to bypass this procedure and can address a grievance directly to the EDPD/PTRI Office or the Provincial Assembly, as provided for by law in Lao PDR. At each level grievance details, discussions, and outcomes will be recorded in a grievance logbook of which the template is provide in Annex 1. The status of grievances submitted, and grievance redress will be reported to P/DPWT management through the monthly report. To make GRM more efficient and timely responsive, contact details including phone numbers of responsible site engineers and focal points at PPWTs will be provide in the project information leaflet to be prepared and distributed to all Project Affected Households (PAHs) and Project Affected Villages (PAVs). Experience from road projects in other countries suggest that phone call is more frequently used by affected people as most complaints raised are often related to to-day-to-day issues/impacts from civil work (e.g dust, noise, road accidents and safety, construction materials and equipment left blocking access to PAHs , work delayed). The GRM will be monitored and documented by DPWTs and EDPD/PTRI. Sample Form of Grievance Redress Mechanism Monitoring is provided in Appendix 3.
37. The communities and individuals who believe that they are adversely affected by a WB supported project may submit complaints to existing project-level grievance redress mechanism or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaints to the WB's independent Inspection Panel which determines whether harms occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the WB's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit www.worldbank.org/grs. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.



5.5 EGEF Consultation and Information Disclosure

38. The EGEF has been developed as a standalone document to allow for its use by other donors and is closely connected to the ESMF. The EDPD/PTRI and DoR in cooperation with P/DPWTs of the two LRSP2 AF provinces conducted the consultation with local authority and communities located along the proposed NR13S in August 2019 to inform about the proposed NR13S subproject, the potential impacts (negative and positive), and the proposed mitigation measures. The consultation was conducted in BKK on 15-19 August 2019 and KM on 20-21 August 2019. In BKK province, 224 participants (58 females) from three districts namely Thapabath, Pakksan and Pakkading and 54 villages from 10-village groups were officially invited into the consultation meetings. In KM province, 118 participants (30 females) from two districts namely Thakhek and Hinboun and 37 villages from 8-village groups were officially invited into the consultation meetings. A summary of the consultation minutes is on file. During implementation of the on-going project (LRSP2), consultation with the provinces and local communities are made during the preparation of safeguard documents for the subprojects.
39. During the consultation, all the participants agreed that having the road upgrading and expanding is their dream. They all support this project with many positive reasons such as the new and standard road will be a signature of modernity, which shows a good image of the community as well as the country, having larger road equals to having better transportation, possibly reduce the issues of road accident and better road safety conditions.

40. Common negative impacts discussed during the consultation meetings were: dust, rubbish, road accident and compensation/relocation issues as a result from road construction. In terms of the dust impact, the participants were aware that it is a common issue during road construction and many of the road construction projects did not have effective solutions to address this issue based on their experiences. The rubbish issues were also experienced by local communities. They explained that many of the road construction projects likely to leave their unused materials in local communities during and/or after the completion of the construction and those materials become rubbish in the communities. Additionally, many female participants claimed that apart from leaving unused materials, rubbish also come from workers during the construction. Sometimes construction workers do not manage their rubbish and throw it in public.
41. All concerned issues were considered during the preparation of the ESMF, RPF and EGEF and they will be included during the subproject design, the ESMP/ECOP/CoC as relevant. Discussion with the representative of ethnic peoples and women's groups also confirmed their full support. A summary of the consultation minutes is on file. It has been agreed that during the preparation of specific subprojects to be proposed by the province and the preparation of the environmental management plan or other plans as required by the ESMF, additional consultations will be carried out in close consultation with the local authorities and people likely to benefit and/or be affected by the subproject.
42. Overall, both females and males shared similar mitigation measures. Regarding the dust and noise, regular puring water during the construction is suggested in order to minimize the dust issue. In terms of compensation matters, the participants suggested that the project committees should come and closely consult with local authorities and affected households and agreement between parties should be made at the local level, villagers claimed. Both project and local communities should be able to reach an agreement of what and how both parties can contribute to the project development, participants added. Once the promise is developed, the parties must stick on it. Some other village interviewees claimed that livelihood restoration is also essential mitigation, particularly those affected families.
43. The draft EGEF as well as ESMF and RPF were disclosed (in English) on the MPWT website on 12 August 2019 while a brief and reader friendly information leaflet was prepared in Lao language and distributed to PAHs/PAPs and other concerned stakeholders in hard copy before the consultation held during August 19-21, 2019. The information leaflet provides information on the project, potential impacts, mitigation measures, safeguard policy frameworks, implementation arrangements and GRM. After the consultation, the final draft ESMF, RPF and EGEF were re-disclosed in the country (in both local language and in English) on September 02, 2019 and they will be re-disclosed again after clearance from the World Bank and before appraisal.

6 Appendix 1: Summary of Ethnic Groups in the Pilot Project Provinces

Information regarding ethnic communities and ethnic groups are briefly presented in this appendix. Map below show locations of the provinces and key ethnic groups known to be present in the provinces.







Bolikhambxay	Xiengkhouang	Houphan	Xayabouly	Oudomxay	Phongsaly
					
Ethnic Group					
Hmong, Khmu, Phong, Toum, etc.	Khmu, Hmong.	Hmong, Khmu, Lao Fong, Singmoun, Iumien or Yao, Moy or Meuang, and Chin or Hor.	Khmu, Htin, Phai, Kri, Akha, Malabri	Khmu, Akha, Ly, Yang, Ikho, Hor	Khmu, Yao, Leu, Hor, Hmong, Akha, Yang, Bid, Lolo
Ethnic Community					
22 communities of which major Lao is about 60% of total population (see Table A6.1)	3 communities Lao Tai (Tai Dam, Tai Daeng, Phuan), Khmu, and Hmong. Majority Laos, is over 50% of the total population in the province (see Box A6.1).	9 communities Lao Tai, Hmong, Khmu, Lao Fong, Singmoun, Iumien or Yao, Moy or Meuang, and Chin or Hor. Lao majority is about 80% of total population. Table A6.2	Tai Lue. Other communities are the Khmu, Tai Dam, Htin, Phai, Kri, Akha, and Malabri	14 communities comprising <u>Khmu</u> (60–80%, <u>Lao Loum</u> (25%), <u>Hmong</u> (15%). Others include <u>Akha</u> , Phouthai (Thai Dam & Thai Khao), Phou Noy (Phou Xang, Phou Kongsat, Phou Nhot), Lao Houy (also “Lenten”), Phouan, Ly, Yang, Ikho and Ho.	13 communities with independent language and culture identity: Khmu, Tai Dam, Tai Daeng, Yao, Leu, Hor, Hmong, Akha, Yang, Bid, Lolo and others.



Table A1: Number of ethnic groups households (HH) in Borikhamxay (provincial data 2014)

	EC	Total			Households (HH) by districts (see names in Note below)						
		HH	Person	Female	01	02	03	04	05	06	07
1	Lao	12,091	114,900	57,339	6,671	3,963	4,315	2,350	2,728	578	272
2	Tai	6,913	68,240	33,969	1,594	711	2,884	1,422	3,429	1,315	116
3	Hmong	4,068	49,360	23,598	10		562	1,683	2,467	1,476	347
4	Khmu	2,075	13,374	6,553	11		653	2,115	2,129	40	61
5	Phong	1,389	9,071	4,284	6		135	257	50	674	311
6	Toum	770	5,037	2,502	8		211		59	51	509
7	Thainuea	145	635	301		96	1				
8	Phouthai	391	7,567	3,854	228	15	132	16	704		
9	Katang	31	141	73		24	1	16			
10	Saek	6	1,046	499	1		3		167		
11	Leu	16	307	147	6		1		33	10	
12	Youan	6	147	69	4		1		15		
13	Phounoi	5	81	38	1		4		9		1
14	Makong	10	51	21	7						
15	Yae	2	6	4	1						
16	Taoy	2	21	8	1						
17	Samtao	2	10	7	1						
18	Souay	10	66	33	3						

	EC	Total			Households (HH) by districts (see names in Note below)						
		HH	Person	Female	01	02	03	04	05	06	07
19	Yru	18	90	50					15		
20	Akha	28	140	78					23		
21	Singmoon	12	100	52					17		
22	Kee	231	1,155	563					186		
23	Vietkaew	20	64	36	14						
24	Chinese	12	47	28							
	Total	47,930	271,656	134,106	8,557	4,809	8,903	7,859	12,031	4,144	1,617
Note: (01) Pakxan, (02) Thaphabath, (03) Pak Kading, (04) Bolikhan, (05) Kamkert, (06) Viengthong, and (07) Xaychamphone.											

Table A2 Number of ethnic group households (HH) in Houaphan (provincial data in 2014)

	EC	Total			Population by districts (see names in Note below)								
		HH	Person	Female	01	02	03	04	05	06	07	08	09
1	Lao		70,749	34,856	23,635	4,551	7,293	5,048	4,903	8,322	2,796	7,691	6,510
2	Tai		77,069	36,946	4,780	9,930	5,041	19,708	408	12,080	13,034	10,426	1,662
3	Hmong		82,958	41,149	18,989	4,436	6,546	4,662	6,841	15,876	7,287	4,491	13,830
4	Khmu		33,723	16,415	6,407	338	8,426	2,981	8,371	553	1,170	2,631	2,846
5	Laofong		14,826	7,431	3,279	0	25	0	11,522	0	0	0	0
6	Singmun		7,980	3,883	13	5,980	0	0	0	0	127	1,860	0
7	Iumien		3,489	1,742	38	710	391	767	0	0	1,210	373	0
8	Moy		528	237	528	0	0	0	0	0	0	0	0
9	Chinhor		151	78	146	0	5	0	0	0	0	0	0

		Total			Population by districts (see names in Note below)									
EC	H H	Person	Female	01	02	03	04	05	06	07	08	09		
Total		291,473	142,737	57,815	25,945	27,727	33,166	32,045	36,831	25,624	27,472	24,848		

Note: 01 XamNeua, 02 XiengKhuangkhor, 03 Viengthong, 04 Viengxay, 05 HouaMeuang, 06 Xam Tai, 07 Sop Bao, and 08 Et, 09 Kuan, 10 Xone

Box A1 Key characteristics of main ethnic groups

- Tai Dam:* The Tai Dam migrated from northern Vietnam to Laos 80–300 years ago. They are not Buddhists, instead they practice a form of ancestor and spirit worship. Tai Dam is well known producers of fine quality silk and cotton textiles and many women export directly to markets in Japan and the USA. Old Tai Dam women still wear the traditional blue indigo cotton shirt, skirt and a black turban woven with colored patterns. They produce rice alcohol, called ‘lao lao’, that is consumed socially and used for ritual purposes. Tai Dam settles in upland valleys near streams and irrigable and accessible plains scattered among Lao and Phuan villages. They built rectangular symmetric houses on piling, foot pounder and rice granary are under the house. The villages are composed of 15–60 houses and are not fenced. The people mainly live on wet rice, vegetables, poultry, weaving, sewing and hunting.
- Khmu:* Being part of the Mon-Khmer branch of the Austro-Asiatic linguistic family, the Khmu present one of the largest ethnic groups in Laos. They settled in the area several thousand years ago. The Khmu did a rapid acculturation and there is now little in their clothing that distinguishes them from the surrounding Lao, although they speak a completely different language. Khmu houses are built on stilts; each village has a communal house where men gather for political discussions, or work together on basket making and other crafts. Like many ethnic groups in Lao the Khmu practice their own form of animism. The Khmu are well-known for their skill at making baskets, fish traps, and other objects from bamboo. Their material culture, their tools, utensils, baskets and net bags reflect their continued reliance on the forest. Growing rice, hunting, gathering forest products and producing handicrafts provide some cash income. Take a taste of their famous brew ‘lao hai’ (jar alcohol) while visiting one of the many Khmu villages.
- Hmong:* The Hmong present 6-10% of the total population of Laos and remain most numerous and concentrated in the east of XiengKhuang. In the province the White Hmong, the Striped Hmong and the Green Hmong can be distinguished. The easiest way to differentiate these groups is by looking at the women’s dress. Hmong live in forested mountains between 800 to 1,500 meters of altitude and in Laos they are categorized as Lao Soung -the highland people, although today there are a more and more villages located in the low lands. Hmong live in villages ranging in size from 15 to over 60 houses. They are not fenced and organized by clan. The rectangular houses

are beaten on soil, have one room without windows. The walls are made of vertical wood planks and bamboo and a thatch roof. Hmong are known for their knowledge of the forest, herbal medicines and expertise in raising animals. Their agricultural system is based on rain fed slope cultivation with slash and burn techniques. They live on ordinary rice, corn and vegetable production, swine and poultry, gathering, hunting, embroidery and basket work. Their religion is a form of shamanistic animism with cult of ancestors and spirits, and belief in three souls. Certain spirits protect the people within the village boundaries while others maintain their influence over the plant and animal kingdom outside the village.

7 Appendix 2: Rapid Social Assessment and Preparation of EGDP

1. As mention in the main text that if the safeguard screening and preliminary consultation suggested that an EG community is present in the subproject area, preparation of an Ethnic Groups Development Plan (EGDP) will be required. This appendix provides scope and content of the EGDP which should comprise Scope of the EGDP should include preliminary screening, social assessment, mitigation measures, development assistance, and monitoring. Below provides scope of these features.

Preliminary Screening

2. All subproject areas which have ethnic group communities and are candidates for the Project support will be visited (at the time of first consultation with communes) by P/DPWT and EDPD/PTRI, relevant local authorities, and consultants (if any). Prior to the visit, respective P/DPWT and/or EDPD/PTRI will send a letter to the communities informing their leaders that they will be visited by the respective P/DPWT and/or EDPD/PTRI and local authorities and consultation will be conducted on the subproject. The letter will request that the communities invite to the meeting representatives of farmers, women associations and village leaders for discussion on the subproject. During the visit, the community leaders and other participants will present their views with regards to the subproject.
3. At this visit, the social scientists (EDPD/PTRI and/or consultants) will undertake a screening for ethnic minority 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; (d) number and percentage of ethnic households along the zone of influence of the proposed sub-Project.
4. If the results show that there are ethnic group communities in the zone of influence of the proposed subproject, a social impact assessment will be planned for those areas.

Rapid Social Assessment

5. A rapid social assessment (SA) will be undertaken by the social staff of EDPD/PTRI and/or consultants. The SA will gather relevant information on the following: demographic data; social, cultural and economic situation; and social, cultural and economic impacts (positive and negative) as followings:
 - *Information will be gathered from separate group meetings:* ethnic village chiefs; ethnic men; and ethnic women, especially those who live in the zone of influence of the proposed work under subproject. Discussions will focus on subproject impacts, positive and negative; and recommendations for design of subproject.
 - If the SA indicates that the potential impact of the proposed sub-project will be significantly adverse or that the ethnic community rejects the project, the subproject will not be implemented in that locality; no further action is needed in this case.

- If the ethnic group supports the subproject implementation an EGDP will be developed to address any concerns or negative impacts by the proposed subprojects. However, if the concerns are similar to those raised by other groups of people (such as compensation and typical impacts due to construction and/or works implementation) and the mitigation measures can be incorporated into mitigation measures using other safeguard instruments such as resettlement action plan (RAP), specification for contractor (ECoP), preparation of EGDP will not be necessary.

Ethnic Groups Development Plan (EGDP)

6. The EGDP will consist of a number of activities and will include mitigation measures of potentially negative impacts, modification of subproject design, and development assistance. Where there is land acquisition in ethnic minority communities, the Project will ensure that their rights will not be violated and that they be compensated for the use of any part of their land in a manner that is culturally acceptable to them. The compensation and rehabilitation will follow the Resettlement Policy Framework (RPF) of the Project. An EGDP will include:

- legal Framework
- baseline data;
- land tenure information;
- local participation;
- technical identification of development or mitigation activities;
- institutional arrangement;
- grievance mechanism and disclosure arrangement;
- implementation schedule;
- monitoring and evaluation; and
- cost and financing plan.

7. The EGDP will also provide evidence that the results of consultations have been taken into account.

Implementation Arrangement and Grievance Mechanism

8. EDPD/PTRI and/or consultants will also be responsible for training respective Provincial and District Offices of Public Work and Transport (P/P/DPWTs) or local authorities to undertake the work of consultation, screening, social impact assessment, analyses and preparing EGDPs. P/DWPT of individual subprojects and local authorities are responsible for implementing EGDP (arrange adequate staff and budget). The Grievance Redress Committee built on the existing national system with Village Mediation Unit/Committee in place in all villages and judiciary structure from district to national levels will be responsible for implementation of the subproject grievance mechanism. The EGDP will

also describe how different grievance mechanisms (i.e. general project-level grievance mechanism and EG grievance mechanism) will work together, if appropriate.

Monitoring

9. Implementation of the EGDPs will be regularly supervised and monitored by the ESU of PTRI of MPWT. The findings and recommendations will be recorded in quarterly reports and to be furnished to donors.
10. If warrant, an independent agency which would be used by MPWT to undertake external monitoring and evaluation of the implementation of resettlement action plans for the Project will also be tasked with monitoring the activities for EGDP. While, the external monitoring agency will visit a sample of affected households for resettlement in each relevant province on an annual basis, it will also visit a sample of at least 10% of ethnic minority households in the Project affected areas.

Schedule

11. The EGDP should have an implementation schedule that is coordinated with the subproject implementation. Logically, social assessments and group meetings should be undertaken before subproject designs are prepared. Compensation for land acquisition should be satisfactorily completed at least one month prior to start of civil work. Monitoring should take place at the recommended times during and after civil work.

Budget

12. The EGDP will include information on detailed cost of mitigation measures and other rehabilitation entitlements for ethnic minority in the affected areas. A total cost for EGEP implementation is US\$ 10,000 included in the project management budget. Sources of funding for the various activities and financing plans will be clearly specified in the cost tables.

Reporting/Documentation

13. The EGDPs will be prepared and submitted by P/P/DPWT to MPWT and then the donors at the same time that respective P/P/DPWT submit their subproject applications to MPWT and the donors for review. The implementation status of EGDP will be included in semi-annual and annual progress reports to be prepared and submitted to the donors for review.

