

# Stakeholder Engagement Plan

for the

GIZ GCF Funding Proposal

*“Scaling up the Implementation of the Lao PDR Emission  
Reductions Program through improved governance and sustainable  
forest landscape management (Project 2)”*

*As of April 2022*

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

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## 1 OBJECTIVES OF THE STAKEHOLDER ENGAGEMENT STRATEGY

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Stakeholder engagement will be continuous throughout the implementation of the GCF project. This stakeholder engagement strategy has been designed with the following objectives:

- To ensure there are opportunities for stakeholders to provide feedback, ask questions and raise concerns
- To ensure information sharing and disclosure
- To establish a culturally appropriate mechanism for filing complaints and grievances
- To foster strong project-stakeholder relationships, including at the village level
- To ensure meaningful consultation and promote social acceptability of the project

The social engagement strategy will focus primarily on stakeholder engagement with stakeholders that are not a part of the project implementation arrangements and management units.

### **Info Box 1. Community Engagement Framework for the Emissions Reduction Programme under the Forest Carbon Partnership Facility's Carbon Fund**

A Community Engagement Framework (CEF), developed within the context of the Lao PDR Emissions Reduction Programme (ER Programme) under the Forest Carbon Partnership Facility's (FCPF) Carbon Fund, provides best-practice guidelines on how to work with rural communities, to ensure that ethnic minorities, women, and other vulnerable groups can meaningfully participate and benefit. It also specifies what actions must be taken in case that mitigation measures must be taken regarding ethnic minorities, resettled communities or households, communities or households losing access to resources, as well as any mitigation measures necessary to account for gender impacts.

CEF has been developed based on extensive consultations with stakeholders in the project area, and the project will utilize the framework to guide community engagement within the framework of the GCF project and ensure that best practices are applied.

## 2 STAKEHOLDER ENGAGEMENT AND CONSULTATION IN PROGRAMME DEVELOPMENT

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Based on Lao PDR's National REDD+ Programme, stakeholders are defined as actors within the following five major groups: government, local communities, civil society, private sector and development partners.<sup>1</sup> Stakeholder engagement is seen as a central element to supporting the design of the GCF programme, where stakeholders have played an important role in providing inputs and feedback on programme design, and have validated the proposed programme. In addition, extensive engagement with stakeholders has been conducted for the elaboration of the ER-PD, and the National REDD+ Programme, as well as other related programmes/ projects (e.g. CliPAD, SUFORD, ICBF, etc.), which has laid a strong foundation for the elaboration of GCF programme.

The following sub-sections will provide an overview of stakeholder consultations conducted i) during ER-PD preparation and within the framework of the National REDD+ Programme, ii) during the GCF programme development phase (accompanying [FP117](#)), and iii) during the GCF Project 2 development phase.

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<sup>1</sup> "For the National REDD+ Programme, stakeholders are considered to fall into five major groups – Government, local communities, private sector, civil society, and development partners." – ER-PD 2018, p. 32

## 2.1 Stakeholder engagement within the framework of ER-PD preparation and the National REDD+ Programme<sup>2</sup>

For the preparation of the ER Programme, stakeholder consultations have been conducted with a wide range of stakeholder representatives ranging from the central to the village cluster level. The objectives of the consultations were not only to identify drivers of deforestation and forest degradation, and possible measures to address the identified drivers and barriers for successful implementation, but also to enhance understanding on the aim of the ER Programme and its designed activities, and pros and cons of implementing it under their jurisdiction. Consultations have been conducted based on the principles of Free, Prior and Informed Consent (FPIC), aiming for full and effective consultations with particularly local level stakeholders.

The preparation of the National REDD+ Programme, especially its National REDD+ Strategy and Strategic Environmental and Social Assessment (SESA), have been taking place concurrently with the preparation of the ER-PD. To ensure synergy and efficiency in the parallel implementation of the two important processes, the two processes were carefully planned to synchronize in their methods, schedule and outputs.

### Overall consultation strategy on REDD+

The ER Programme adopted the aforementioned stakeholder grouping for its stakeholder consultations, by building on the results of the consultations for the National REDD+ Strategy (NRS). This common approach helped the stakeholders to further their understanding on REDD+ in Lao PDR.

The consultation process for the National REDD+ Programme, i.e., on the National REDD+ Strategy (NRS), Strategic Environmental and Social Assessment (SESA), and other supporting elements were conducted primarily (but not exclusively) through the following channels:

- Intensive primarily technical level consultation with the six REDD+ Technical Working Groups (TWG) among Government and quasi-Governmental agencies/organizations (with participation of other non-Government participants as relevant to the thematic area of discussion), approximately one-third of the official TWG membership are women;
- Strategic-level consultations with the National REDD+ Task Force (NRTF);
- Existing sector coordination mechanisms, namely the Forestry-sub-sector Working Group (FSSWG) under the Agriculture and Forestry Sector Working Group, open to, and participated by a wide stakeholder membership of organizations working in the forestry sector;
- Consultations with representatives of provinces, districts, and *kumban* (village cluster); and
- Focused consultation meetings with non-Government stakeholder groups of REDD+ of civil society organizations, private sector, and development partners.

### Consultations for the ER Programme preparation

It is important to mention that the development of the ER-PD itself been a participatory process, undertaken through a committee known as the ER-PD Team. Under the leadership of the National REDD+ Focal Point and the REDD+ Division, the ER-PD was convened and participated by the partner organizations actively engaged in REDD+; namely, FCPF REDD+ Readiness Project, the Climate Protection through Avoided Deforestation (CliPAD) Project of GIZ funded by BMZ, the Sustainable Forest Management and REDD+ Support Project (F-REDD) of JICA, and the UN-REDD Programme support from FAO, along with the World Bank-financed REDD+ Readiness operation. This committee met regularly (weekly meetings by default, and more intensively as required) to discuss and draft sections of the ER-PD. In various instances, this committee was the venue for providing options for the ER Programme formulation, which would then be consulted

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with other Government actors and non-Government actors through TWG meetings, consultation meetings, and through other venues.

For the ER Programme formulation, consultations were conducted on a number of occasions for different thematic focal areas as well as for different purposes in the process leading up to decision-making. In July and August 2015, two regional workshops were held to discuss the ER-PIN development with the proposed six provinces of the ER Programme. After acceptance into the Carbon Fund pipeline, further consultations took place with all six provinces in December 2015 to elaborate the next steps in order to develop the ER-PD. At the central level, the ER Programme updates were introduced through the aforementioned sector coordination mechanism of the FSSWG in its regular meetings.

From 2016, the six provinces engaged in their respective processes of developing their Provincial REDD+ Action Plans (PRAPs). PRAPs are the provincial-level instrument that identifies the strategic interventions to address drivers and barriers for REDD+. The PRAPs for the six provinces are the central instrument through which the ER Programme interventions will be rolled out, and therefore are inherently linked to the ER Programme development. For the PRAP preparation in the six provinces, consultation meetings were held in all 50 districts and 50 selected *kumban*<sup>106</sup>, engaging with provincial and district staff, and village representatives. In total 339 villages were represented by these consultations. The PRAP consultations intensively discussed and identified main drivers and barriers to REDD+ and priority interventions for the province.

Another regional meeting with these six provinces was organized in September 2016. In October 2017 all Northern provinces gathered together in Oudomxay province to discuss the National REDD+ Strategy, SESA, Safeguard Plans and elements of the ER Programme including on institutional arrangement, and benefit sharing.

Apart from the PRAP processes, consultations held with the provinces up to January 2018 discussed the issues and areas including the following, as pertains to the ER Programme:

- General introduction and awareness raising related to REDD+ and climate change;
- Land and resources tenure arrangements;
- Institutional arrangement for ER Programme implementation;
- Non-carbon benefits;
- Assessment of negative environmental and social impacts from the ER Programme interventions; and
- Benefit-sharing structures and principles – provisional ideas.

In January 2018, an ER Programme consultation workshop with the six provinces took place in Luang Prabang province, including with high-level provincial officials. Based on the PRAPs developed in each of the six provinces, the draft ER-PD was discussed and consulted. As a result of these consultations, the provinces have confirmed their participation and commitment to the ER Programme.

For development of the six PRAPs, sub-provincial level consultations were held in all 50 districts, and in 50 *kumbans* with representatives from 339 villages. The target stakeholders included the Government agencies and representatives from mass organizations at the provincial and district levels (i.e. province, district) and representatives of the villagers of the sampled communities. (In each district, a meeting was held with one selected *kumban* and the leaders of villages in that *kumban* attended the meeting.) *Kumbans* were selected as part of the district level meetings based on a set of given criteria such as deforestation hotspots, ethnicity, proximity to National Protected Areas etc.

Consultations were conducted to ensure the participation of men and women from diverse ethnic groups, given the ethnic diversity present in the programme area.

No	Ethnic Groups	Six Northern Provinces (ER Program Area)					
		HP	LPB	XAY	LNT	BK	ODX
Lao-Tai Ethno-Linguistic Family							
1	Lao	✓	✓	✓	✓	✓	✓
2	Tai	✓	✓	✓	✓	✓	✓
3	Lue		✓	✓	X		
4	Nyouan (Luman, Yuan)		✓	✓	✓	✓	
5	Nyang (Ngang)				✓		✓
6	Tai Nue				✓		
Mon-Khmer Ethno-Linguistic Family							
7	Khmu	✓	✓	✓	✓	✓	✓
8	Pong (Phong)	✓					
9	Xing Moon	✓					
10	Moy	✓					
11	Thene		✓				
12	Bidh				✓		
13	Lamet				✓	✓	✓
14	Sam Tao				✓	✓	
15	Akha				✓	✓	✓
16	Prai			X			
Hmong-Mien Ethno-Linguistic Family							
17	Hmong	✓	✓	✓	✓	✓	✓
18	Emien	✓	✓	✓	✓	✓	✓
Sino-Tibetan Ethno-Linguistic Family							
19	Phou Noy		✓		✓	✓	✓
20	Ho		✓		✓	✓	✓
21	Sila				✓		
22	Lahu					✓	
23	Lanten				X		
Total: total in LFNC figures (total with PRAP additions)		8	11	7 (or 8)	16 (or 18)	12	10

✓ Ms. Manivanh Keokominh, Deputy Director, Lao Front for National Construction, unofficial data 2017

X Additional groups noted in PRAP work. In Sayabouri, there were also Luman and Yuan, however they are in the same ethnic groups as Nyouan

Ethnic groups consulted during PRAP kumban consultations

**Figure 1. Composition of ethnic groups in the ER Programme area, and overview of ethnic groups consulted during PRAP kumban consultations**

Source: ER-PD 2018, Annex 1 p. 2

## 2.2 During GCF Programme Proposal Development (overall programme, and project 1)

### Engagement with the National Designated Authority (NDA)

The proposed programme has been developed with regular engagement from the NDA in Lao PDR - MoNRE. Structured dialogue with the NDA and other key national partners has been ongoing since April 2017 as part of GIZ's country programming. Since then, regular discussions have been held with the NDA on diverse topics related to the proposal development process, including stakeholder consultations at the national, provincial, district, *kumban* and village level. Representatives from the NDA have further attended cross-sectoral multi-stakeholder workshops to provide feedback on the programme.

A letter of no-objection was provided by the NDA, confirming the proposed programme conforms with the country's national priorities, strategies and plans, and that it is in accordance with relevant laws and regulations.

### Engagement with Government focal points for REDD+ and UNFCCC

In addition to maintaining ongoing communication with the NDA, the proposed programme has been designed with the continuous engagement with Government focal points from key ministries, where the Government has demonstrated strong ownership of the programme concept. The head of the country's REDD+ Office (the National REDD+ Focal Point) has been a major proponent of the programme and consistently involved in programme design and stakeholder consultations. The UNFCCC focal point within MoNRE has also been kept informed about the programme, and representatives from MoNRE have regularly participated in programme consultation events and workshops.

### Other stakeholder consultations

Additional consultations were held to support the development of the programme, in which a total of 1,066 participants attended.<sup>3</sup> Consultations were held with the following stakeholders at the national, province, district, and village level:

**Table 1. Overview of stakeholders consulted during the funding proposal development process at the programme level (additional to consultations conducted for the ER-PD)**

Stakeholder Category	Stakeholders Consulted
Government	
<i>National</i>	DOF/MAF: Production Forest Division, Forest Protection Division, Planning and Cooperation Division, National Protected Areas Division, REDD+ Division, Aquatic and Wildlife Division, Administration Division, Legal Division, Forest and Forestry Resources Development Fund, Forest Inventory and Planning Division, Deputy Director General of Department of Forestry (DOF), Village Forests and NTFP Division, Department of Forest Inspection DALAM/MAF: Department of Agriculture and Land Management Funds: EPF and FFRDF MONRE: Planning and Cooperation Division, Department of Climate Change Representatives from National REDD+ Task Force Ministry of Finance NAFRI

<sup>3</sup> This figure is not indicative of the total number of people who participated, as some participants may have participated in more than one consultation or workshop.

Stakeholder Category	Stakeholders Consulted
<i>Provincial</i>	Provincial REDD+ Offices (PRO), PAFO, PONRE and POFI representatives in each Province Members of Provincial REDD+ Task Force
<i>District</i>	District representatives including from DAFO, DONRE and DOFI
<b>Local Communities</b>	
▪ <i>Bokeo</i>	Ban Samork Neua, 1 additional village in NPA
▪ <i>Houaphan</i>	Huayhu village, Ban Yard village, Hong Oy village, Ban Phonxay
▪ <i>Luang Namtha</i>	Ban Nam Mad Mai, Ban Nam Dee, Ban Don Mai
▪ <i>Luang Prabang</i>	Ban Phanid
▪ <i>Oudomxay</i>	Nangew village, Ban Napa
▪ <i>Sayabouri</i>	Phonekeo village, Ban Phonxay
<b>Civil Society</b>	Lao Women's Union (including at national, provincial and district-level); Village Focus International; The Centre for People and Forests (RECOFTC); FLEGT CSO Network – including the Green Community Alliance (GCA), the Rural Research and Development Promoting Knowledge Association (RRDPA), the Association for Community Training and Development (ACTD), Lao Biodiversity Association (LBA), Maeying Houamjai Phathana (MHP), the Wildlife Conservation Association (WCA) and the Social Development Alliance Association (SODA); National University of Lao PDR (NUOL)
<b>Private Sector</b>	Burapha Agro-forestry Co. Ltd. Plus, interviews with 25 producers, 15 traders (paddy, maize, Job's Tears, NTFPs), 12 rice millers and 2 banks in Luang Prabang, Luang Namtha and Oudomxay provinces
<b>Development Partners</b>	KfW (Country Office and ICBF Programme); GIZ (CLiPAD, LMDP, proFEB/proFLEGT); JICA (F-REDD); FAO; UNDP; ADB; Head of German Development Cooperation in Lao PDR/BMZ; World Bank; SUFORD-SU (WB).

*Note: Refer to FS for a more detailed overview of specific participants and meetings held*

Diverse consultation formats were applied during the elaboration of the funding proposal including one-on-one meetings, workshops, local village meetings and focus group discussions. The following figure provides an overview of the main consultation processes held during the development of the overarching programme and Project 1.



**Table 2. Overview of stakeholder consultations to support the preparation of the programme**

Description of consultation(s)	Dates	Stakeholders engaged	No. of Participants		
			Total	Male	Female
1. Scoping mission for the development of the programme's Concept Note	April 3-7, 2018	FAO, GIZ-FLEGT, JICA F-REDD, Head of German Development Cooperation in Lao PDR (BMZ), DOFI Director General (MAF), DOF Deputy Director General (MAF), Department of Climate Change Deputy Director General (MONRE), Planning and Cooperation Division (MONRE), Division of Village Forest and NTFP Management. Head of the REDD+ Division in DOF (MAF), UNDP	11	10	1
2. Second scoping mission for the development of the programme's Concept Note	April 23-30, 2018	Head of the REDD+ Division within DOF (MAF), Vice Minister of MAF, DOF Deputy Director General (MAF), Division for Planning and Cooperation within DOF (MAF), Division for Village Forest and NTFP Management within DOF (MAF), KfW (representative from the ICBF programme)	6	5	1
3. National inception workshop for GCF Feasibility Study and proposal development	October 5, 2018	From DOF/MAF: Production Forest Division, Forest Protection Division, Planning and Cooperation Division, National Protected Areas Division, REDD+ Division, Aquatic and Wildlife Division, Administration Division, Legal Division, Forest and Forestry Resources Development Fund, Forest Inventory and Planning Division, Deputy Director General of DOF, Village Forests and NTFP Division, REDD+ Division	17	13	4
4. Stakeholder consultations in Vientiane to inform Feasibility Study and proposal preparation	October 2-5, 2018	Vice Minister of MAF, SUFORD-SU, Head of German Development Cooperation/ BMZ, Forest and Forest Resources Development Fund Division, Burapha Agro-Forestry Co. Ltd., GIZ ProFEB/ ProFLEGT Component, World Bank, JICA, KfW country director, ADB, FAO, Environmental Protection Fund, GIZ Country Director, KfW ICBF programme	18	16	2
5. Provincial stakeholder consultations to inform Feasibility Study and proposal preparation	October 8-16, 2018	In each province meetings with: Provincial REDD+ Task Force Members, Representatives from PRO, POFI, PAFO and PONRE, District representatives, villagers and village authorities.	572	483	89
6. National debriefing workshop	October 18, 2018	JICA, KfW, EPF, Buapha Agro-forestry Co. Ltd., DOF (MAF), Production Forest Division (DOF/MAF), SUFORD-SU, REDD+ Division (DOF/MAF), Planning and cooperation division (DOF/MAF), Village Forests and NTFP Division (DOF/MAF); GIZ Country Office, DDG of DOF (MAF); FFRDF, Department of planning and finance (MAF), DOFI (MAF), Forest Protection Division (DOF/MAF), REDD+ Division (DOF/MAF), Forest Inventory and Planning Division (DOF/MAF)	29	22	7
7. Agribusiness interviews in Luang Prabang, Luang Namtha and Oudomxay Provinces	November 7-11, 2018	25 local producers, 15 traders (paddy, maize, Jobs-tear, NTFPs), 12 rice miller and 2 banks.	N/A	N/A	N/A

Description of consultation(s)	Dates	Stakeholders engaged	No. of Participants		
			Total	Male	Female
8. Workshop with GCF representatives on opportunities for climate finance with a focus on REDD+ and the forestry sector, as well as private sector engagement	November 19, 2018	FAO, Department of Climate Change (MONRE), UNDP, Village Focus International, NAFRI, JICA, Investment and Business Division within the Department of Planning and Finance (MAF), Department of Agriculture, REDD+ Division (DOF/MAF), DOFI (MAF), Division of Planning and Cooperation (MAF), DDG Department of Forestry, EPF, DG Department of Forestry (MAF)	28	24	4
9. Stakeholder consultations in Houaphan Province to identify forest priorities for inclusion in the GCF Funding Proposal	November 21, 2018	Village authorities, villagers from Huayhu village, PAFO Houaphan (forestry Section, REDD+ section, Inspection), DAFO Houameuang (forestry unit, inspection unit), district governor's office	30	18	12
10. Stakeholder consultations for the elaboration of the programme's capacity needs assessment and capacity building strategy	November 26-30, 2018	FFRDF, SUFORD-SU, FAO, LMDP-GIZ, RECOFTC, ProfLEGT Component (GIZ), Department of Land (MONRE), Department of Climate Change (MONRE), Department of Agriculture and Land Management (DALAM/ MAF) DDG of DOF (MAF) and others from DOF/MAF: Division for Planning and Cooperation, Production Forest Management Division, Protected Area Management Division, REDD+ Division, Village Forest and NTFP Management Division, DOFI, Plantation Promotion and Forest Restoration Division	19	18	1
11. Stakeholder consultations for the design of the National REDD+ Funding Window under the EPF	November 28-29, 2018	EPF (All heads of Divisions, EPF-GF Focal Points, Safeguard Officers, Monitoring and Evaluation Officers)	N/A	N/A	N/A
12. Stakeholder consultations for the development of the programme's gender assessment and gender action plan	January 16-24, 2019	PAFO and Lao Women's Union (Houaphan), DAFO in Xam Neua, District LWU Office in Xam Neua, Villagers (Ban Yard Village; Ban Nam Mad Mai, Ban Nam Dee), PAFO Luang Namtha, Provincial LWU in Luang Namtha, DAFO and LWU in Luang Namtha	148	79	69
13. Stakeholder consultations for development of the ESMP	January 28-February 4, 2019	Phonekeo village (Sayabouri Province, Sayabouri District); Hong Oy village (Houaphan Province, Houameung District); Nangew village (Oudomxay Province, Xai District); also district-level meetings.	118	59	59
14. Final validation workshop	February 8, 2019	MAF, MoNRE, MPI, REDD+ Task Force, FFRDF, EPF, PAFOs, DAFOs, RECOFTC, GIZ, KfW, World Bank, FAO, JICA, EU, IFAD, ADB, German Embassy, Village Focus International,	70	67	3
Total No. of Participants in Stakeholder Consultations <sup>4</sup>			1,066	814 (76%)	252 (24%)

<sup>4</sup> Note: there is overlap of participants in different meetings.

### Preliminary Scoping Missions

Preliminary scoping missions were conducted by GIZ staff and programme development experts to assess the possibility for developing a GCF concept note and potential funding proposal from April 3-7 and April 23-30, 2018. Missions focused on fact-finding, meeting with key actors and determining country interest in developing a proposal, whilst ensuring the relevance of the concept selected. A high-level meeting with government representatives was held to ensure commitments to programme development from main programme partners and supporting partners interested in providing co-finance. In total, 17 people (15 men, 2 women) were consulted during these two scoping missions.

### Inception Workshop

An Inception Workshop for national government partners was held on October 5, 2018 where the initial programme structure was presented, as well as key considerations for activities and actions, institutional arrangements and potential co-financing sources. A major topic of this workshop was discussing the plan and process for feasibility study and proposal development, as well as planning for upcoming provincial consultations. In total, 17 people attended the workshop (13 men, 4 women).

### Provincial-level consultations on programme design, feasibility and debriefing meeting

Extensive consultations were conducted at the provincial and local level, where over 572 people (483 men and 89 women) participated in consultations held in the programme area (six Northern provinces) from October 8-19, 2019. Within each province, the following stakeholder consultations were held:

- Provincial workshops with representatives from REDD+ Task Forces to present the programme and receive feedback
- Provincial working sessions to provide information for proposal development with representatives from PRO, Provincial Agriculture and Forestry Office (PAFO), Provincial Office of Natural Resources and Environment (PONRE) and Provincial Office of Forestry Inspection (POFI).
- District workshops with all district representatives (including District Agriculture and Forestry Office (DAFO), District Office of Forestry Inspection (DOFI) and Provincial Office of Natural Resources and Environment (DONRE), District Lao Women's Representatives, among others) within each province to provide feedback and support programme design
- Village visits (1-2 per province) to verify drivers and barriers, and to receive direct feedback on village needs.

Consultations ensured the participation of diverse stakeholders, including women and diverse ethnic groups. Workshops with civil society organization (CSOs), the private sector and co-finance institutions/donor organizations, among others, have been held since the development of the GCF concept note and proposal.

The programme was well received in the consultations. Provincial and district government authorities emphasized the major challenges they face, including limited capacities and resources, and noted the importance of the programme to support both investments in REDD+ and sustainable land management, as well as capacity development and the procurement of equipment to help them do their jobs (e.g. POFI noted that limited equipment restricts the effectiveness of monitoring and law enforcement). Villagers validated the driver and underlying causes of deforestation and the importance of proposed activities. A major theme for village consultations was the need for alternative livelihood opportunities and value-adding opportunities.

After the provincial, district and village consultations, a debriefing meeting was held in Vientiane with key stakeholders from government, donor organizations, and private sector to present the

stakeholder feedback and new insights into the programme design. The mission validated the baseline information and provided insight into what specific design measures are needed (e.g. including marketing support linked with agricultural extension, need for capacity building and filling regulatory gaps on plantations and commercial forestry activities, among others, the need for investments in equipment for POFI and DOFI due to extremely limited budgets, among others).

#### Other stakeholder engagement activities

Numerous other stakeholder events were held to support programme development. This included meetings and consultations with agribusiness to inform the design of component 2,<sup>5</sup> consultations with diverse actors to inform and validate the design of the proposed Environment Protection Fund (EPF) funding window (Activity 1.5), meetings to assess national capacities and develop a capacity building strategy.

Stakeholder consultations for the development of the ESIA and ESMF took place from January 28 until February 4, 2019. In total 118 people (59 men and 59 women) were consulted. Consultations took place in Sayabouri, Houaphan, and Oudomxay. Additional stakeholder consultations were held to inform the gender assessment and gender action plan from January 16-24. The Lao Women's Union played a central role in these consultations, which were held in Houaphan, and Luang Namtha. In total, 148 people participated in the gender assessment and gender action plan consultations, including 79 men and 69 women.

Majority of people noted that the programme and its activities are suitable based on their local context, and expressed interest. They further noted that the programme area is highly diverse in terms of its socio-economic, cultural and environmental conditions. Thus, a "one-size fits all" approach is not suitable, and consulted stakeholders emphasized the importance of maintaining effective stakeholder engagement throughout project implementation. A detailed list of how the programme has incorporated stakeholder feedback into the programme's design is included in the feasibility study, as well as in the gender assessment.

### **2.3 During the development of Project 2 (2022)**

#### **Engagement with the NDA and key stakeholders**

As mentioned in Sections 2.1 and 2.2, this project is embedded in the Programme (FP 117), and has thus been informed by substantial engagement with the NDA, government ministries and other key stakeholders. Regular communication and updates have been shared with the NDA and key government ministries throughout the programme/ project 1 development process. Representatives of the NDA have attended cross-sectoral multi-stakeholder workshops to provide feedback on the project and the broader ER-Programme. A letter of no-objection was provided by the NDA for FP 117, confirming the project conforms to the country's national priorities, strategies and plans, and that it is in accordance with relevant laws and regulations. GIZ reports continuously to the NDA regarding the implementation of Project 1 'Implementation of the Lao PDR Emission Reductions Programme through improved governance and sustainable forest landscape management', i.e., through the submission of the GCF Inception Report and the 1<sup>st</sup> Annual Performance Report (APR) in March 2021 and the 2<sup>nd</sup> APR in March 2022.

The Concept Note of Project 2 was submitted to the NDA in July and November 2021. Individual meetings between GIZ and the NDA regarding the development of Project 2 have been organized on January 25<sup>th</sup> and March 3<sup>rd</sup>, 2022. In November 2021, the NDA moderated a number of consultation meetings between NDA, UNDP, GIZ, and MAF in order to discuss possible

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<sup>5</sup> Note: Project 1 used the term 'outputs' instead of components. In order to ensure alignment with the GCF Integrated Results Management Framework and new Funding Proposal Template, the term 'component' is applied under Project 2. Outputs under GCF's IRMF are "Changes delivered as a result of project/programme activities that contribute to the achievement of outcomes." – GCF. 2022. [Guidance Note to support the completion of the IRMF elements of the revised funding proposal template for PAP and SAP, p. ii.](#)

implications of the geographical and technical overlap of the GIZ GCF Project 1 and 2 and the UNDP GCF Project, which was under preparation at this time. On December 9<sup>th</sup>, 2021, the NDA organized a meeting on 'Coordination and Consultation with Accredited Entities on Pipeline of GCF Projects in the Lao PDR GCF Country Programme 2021 – 2023' and on December 15<sup>th</sup>, the 'Green Climate Fund (GCF) Annual Update Meeting' has been conducted by the NDA. On both occasions, GIZ had been invited to present the progress on Project 1 as well as an update on Project 2 development.

Thus, the NDA has been involved throughout the development of both Projects 1 and 2. A letter of no-objection has been provided by the NDA for Project 2 (FP Annex 1), confirming the project conforms to the country's national priorities, strategies and plans, and that it is in accordance with relevant laws and regulations.

### **Other stakeholder consultations**

Additional consultations were held to support the development of Project 2, in which a total of 582 participants attended (of which 30% were women).<sup>6</sup> Consultations were held with the stakeholders at the national, province, district, and village level, and special attention was paid to ensure the active participation of men and women from various ethnic groups. Diverse consultation formats were applied during the elaboration of the funding proposal including one-on-one meetings, workshops, local village meetings and focus group discussions.

The following figure provides an overview of the main consultation processes held.

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<sup>6</sup> This figure is not indicative of the total number of people who participated, as some participants may have participated in more than one consultation or workshop.

**Table 3. Overview of stakeholder consultations to support the preparation of Project 2**

Description of consultation(s)	Dates	Stakeholders engaged	No. of Participants			Ethnicity		
			Total	Male	Female	Lao-Loum	Non-Lao Loum	Foreign national
1. National Kick Off Meeting for GCF Feasibility Study and proposal development	22.2.2022	DOF; MoNRE; NAFRI; Forestry Survey Unit; Forest training Center; Ethnic department; GIZ; CliPAD; DDF; EPF; ICBF; Wildlife division; Civitas; WWF; Fund office	40	31	9	29	2 <sup>7</sup>	9
2. Provincial Kick Off Meeting Bokeo	16.3.2022	PAFO (forestry section, POFI), Department of Planning and Investment, PoNRE, Provincial LWU, Provincial LFND, DAFO (Huayxai, Paktha, Phaoudom and Meuang districts), District cabinet office (Vice district governor of Huayxai, Paktha, Phaoudom and Meuang districts), district LWU ( Huayxai, Paktha, Phaoudom and Meuang districts), DoNRE (Huayxai, Paktha, Phaoudom and Meuang districts), LFND (Huayxai, Paktha, Phaoudom and Meuang districts), DoF, GIZ, CliPAD, MHP	45	33	12	37	7 <sup>8</sup>	1
3. Provincial Kick Off Meeting Luang Namtha	18.3.2022	PAFO (forestry section, Land management section, irrigation section, POFI), Department of Planning and Investment, PoNRE, Provincial LWU, DAFO (Long, Luang Namtha and Viengphoukha districts), District cabinet office (Vice district governor of Long, Luang Namtha and Viengphoukha districts), district LWU (Long, Luang Namtha and Viengphoukha districts), DoNRE (Long, Luang Namtha and Viengphoukha districts), LFDN (Long, Luang Namtha and Viengphoukha districts), DoF, GIZ, CliPAD, VFMP, FCPF	49	38	11	42	6 <sup>9</sup>	1
4. Provincial Kick Off Meeting Oudomxay	14.3.2022	PAFO (forestry section, agriculture section, irrigation section, POFI), Department of Planning and Investment, PoNRE, Provincial LWU, DAFO (Xay, Namor, Beng, and Nga districts), District cabinet office (Vice district governor of Beng and Namor districts), district LWU ( Xay, Namor, Beng, and Nga districts), DoNRE (Xay, Namor, Beng, and	55	45	10	36	8 <sup>10</sup>	1

<sup>7</sup> Hmong (2)

<sup>8</sup> Is Khmou, Lamed and Phounoy

<sup>9</sup> Is Khmou, Phounoy and Akha

<sup>10</sup> Is Khmou, Hmong, and Phounoy

Description of consultation(s)	Dates	Stakeholders engaged	No. of Participants			Ethnicity		
			Total	Male	Female	Lao-Loum	Non-Lao Loum	Foreign national
		Nga districts), LFDN (Xay, Namor, Beng, and Nga districts), DoF, GIZ, CliPAD, VFMP						
5. Provincial Kick Off Meeting Luang Prabang	11.3.2022	PAFO (forestry section, irrigation section, POFI), Department of Planning and Investment, PoNRE, , DAFO (Phonthong, Xiengngern and Nan districts), District cabinet office (district governor of Phonexay district), district LWU (Phonthong, Viengkham and Nan district), DoNRE (Phonthong, Viengkham and Nan district), DoF, GIZ, CliPAD, VFMP, FCPF	31	26	5	27	2 <sup>11</sup>	1
6. Provincial Kick Off Meeting Houaphan	25.3.2022	PAFO, Department of Planning and Investment, PoNRE, provincial defence, provincial public security, Provincial LWU, Industry and Commerce department, LFND, Information and culture, DoF, GIZ, CliPAD, I-GFLL	25	21	4	N/A	N/A	2
7. Provincial Kick Off Meeting Sayabouri	21.3.2022	PAFO (forestry section, agriculture section, livestock section, protected area), Department of Planning and Investment, PoNRE, Provincial LWU, LFND, District cabinet office (vice district governor of Xayabouri, Paklai, Phieng, Thongmixay, Hongsa districts), DAFO (Xayabouri, Paklai, Phieng, Thongmixay, Hongsa districts), LWU (Paklai and Thongmixay districts) District LFDN (Paklai, Hongsa, and Thongmixay districts), DoF, GIZ, CliPAD, I-GFLL, EPF	60	48	12	N/A	N/A	2
8. Stakeholder consultations to inform Feasibility Study and proposal preparation (Private Sector, Agribusiness)	20.02-06.03.2022	Vanghong Trading Company, Singta Agriculture Extension Company, PAFO Oudomxay (ODX), Forestry Section Lao Huayu Trading Sole Co Ltd, Pattana Kasikorn Sole Co Ltd, Vegetable Production Group Huay Oun village, DAFO Beng district Oudomxay province, Hyjoun Lao-China Agriculture Development Sole Co. Ltd, DAFO Namor District 10 MSME Owners, DAFO Nalae District, 8 District NTFPs and Agriculture Products Collectors, DAFO Viengphoukha District, ODOP Viengphoukha District, Kanthavong Production and Processing Promotion Co. Ltd, PAFO Forestry section, Handicraft Namyuan village,	78	54	24	26	52 <sup>12</sup>	0

<sup>11</sup> Is Hmong

<sup>12</sup> Khmu (36), Lao-Leu (9), Phounoy (3), Chinese (4)

Description of consultation(s)	Dates	Stakeholders engaged	No. of Participants			Ethnicity		
			Total	Male	Female	Lao-Loum	Non-Lao Loum	Foreign national
		Namjuam village NTFPs and agriculture products collector group, Laophoxay - Broom producer group, Palm seed processing factory						
9. Stakeholder consultations to inform Feasibility Study and proposal preparation (Civil Society)	10. - 18.03.2022	Wildlife Conservation Association (WCA), Social Development Alliance (SODA), Sustainable Agriculture and Environment Development Association (SEADA), Maeying HoumJai Phattana, Lao Biodiversity Association (LBA), Gender Development Association (GDA), Green Community Development Association (GCDA), Community Development and Environment Association (CDEA), Association for Development of Women and Legal Education (ADWLE)	9	5	4	9	0	0
10. Provincial stakeholder consultations to inform safeguard documents (ESIA, ESMP, GA, GAP)	14.03. - 26.03.2022	DAFO, DLFND and DLWU (Thongmixay, Sayabouri, Nan, Viengkham, Xay, and Nga districts), villages in Luang Prabang, Sayabouri and Oudomxay province (Kan, Houaysangaem, Keomany, Pha Yuak, Viengkham, Done Khoun, Mokok, Houay Kham, Thin)	190	108	82	94	96 <sup>13</sup>	0
Total No. of Participants in Stakeholder Consultations <sup>14</sup>			582	409	173	300	173	17

<sup>13</sup> Khmu (59), Hmong (33), other (4)

<sup>14</sup> Note: there is overlap of participants in different meetings.



#### Kick Off Workshop at National Level

An Inception Workshop was held at national level to inform stakeholders about the the project development process and timeline for GCF Project 2. The workshop was combined with an update on the progress of REDD+ implementation in Lao PDR and the GCF Programme. It was attended by 53 participants (43 in-person and 10 virtual attendants) and chaired by Mr. Khamsene Ounkham, Deputy Director General (DDG) of the Department of Forestry (DOF). At the workshop the development plan of GCF Project 2 has been presented, especially highlighting the differences between Project 1 and 2, i.e. the shift to a cross-cutting mitigation and adaptation project. The stakeholders gave green light to accelerate the process, especially the consultation workshops at the provincial level and data collection for which ownership and direct involvement of government authorities is required.

#### Kick Off Workshops at Provincial Level

The kick-off workshops were held in six northern provinces, namely Bokeo, Luang Namtha, Oudomxay, Luang Prabang, Sayabouri, and Houaphan, to inform stakeholders at provincial and target district levels about the development plan for GCF Project 2 and highlighting the differences between Project 1 and Project 2. The workshops were held from March 11 to 25, 2022. The workshops were combined with an update on the progress of REDD+ implementation in Lao PDR and the GCF Programme. It was attended by 341 participants (51 females and 290 male in-person attendants).

**Bokeo province:** A kick off workshop was held in at provincial level on 16/03/2022 at the meeting room of Agriculture and Forestry department in Huayxay district. It was attended by 50 participants (9 females). The workshop chaired by Mr. Inthanorm Sayvithoune, deputy head of PAFO, and co-chaired by Dr. Oupakone Alounsavath, Deputy Director General (DDG) of DOF. The head and deputy head of related provincial departments, vice district governor, head and deputy head of related offices at district level, REDD+ technical team (DoF), GIZ staff, and staff from related sections of PAFO participated. The workshop agreed that project implementation should be based on REED+ programs and adapted to local realities; establish project steering committees at all levels, the selection of project target villages in each district should focus on forested villages, and it should be linked with an existing project. It should pay attention to village-level planning; a deforestation monitoring system is required; data collection support for the GCF Project 2 is required and land use planning should be considered to integrate forest and facilitate holistic and integrated planning.

**Luang Namtha Province:** A kick off workshop was held in at the provincial level in Luang Namtha on 18/03/2022 at the meeting room of Agriculture and Forestry Department in Luang Namtha District. It was attended by 48 participants (8 females). The workshop chaired by Mr. Phimkeo Thammasin, head of PAFO, and co-chaired by Dr. Oupakone Alounsavath, DDG of DOF. The DoF workshop organizers committee, national and international experts for the I-GFLL project, vice district governor, head/deputy head of Agriculture and Forestry office (DAFO) from 3 target districts, and provincial related departments/sections participated. The workshop agreed that the project coordination committee should be established, project implementation should be based on REED+ programs and adapted to local realities, pay attention to village-level planning and dissemination, awareness-raising and information dissemination on GCF Project 2 should be done earlier, the carbon credit selling process should be discussed between provincial and national levels, the criteria for accessing project funds should be explained, the benefit share of villagers should be clarified, and the budget should be shared among related sections; a deforestation monitoring system is required; an assigned team to assist with data collection for the GCF Project 2 is required.

**Oudomxay province:** A kick off workshop was held in at provincial level on 14/03/2022 at the meeting room of Agriculture and Forestry department in Xay district. It was attended by 50 participants (7 females). The workshop chaired by Mr. Bounkert Sanongxay, deputy head of

PAFO, and co-chaired by Dr. Oupakone Alounsavath, DDG of DOF. The national and international experts for the I-GFLL project, provincial related departments, target districts (including Namor, Xa, Beng and Nga district), staff from DoF, and GIZ project team participated. The workshop agreed that the project coordination committee should be established, project implementation should be based on REDD+ programs and adapted to local realities, pay attention to village-level planning and dissemination, awareness-raising and information dissemination on GCF Project 2 should be done earlier, deforestation monitoring system is required; an assigned team to assist with data collection for the GCF Project 2 is required.

**Luang Prabang Province:** A workshop was held in at provincial level on 11/03/2022 at the meeting room of Agriculture and Forestry department in Luang Prabang district. It was attended by 53 participants (7 females). The workshop chaired by Mr. Bounmy Savath, deputy head of PAFO, and co-chaired by Dr. Oupakone Alounsavath , DDG of DOF. The representative from Provincial Agriculture and Forestry department, provincial natural Resources and Environment, representative of provincial planning and investment department, provincial Lao front for national development, provincial Lao women's union, vice district governor (4 districts), DAFO of Phonxay district, district women's union ( 4 districts) , DoNRE ( 4 districts), and provincial related departments participated. The workshop agreed that the following: project coordination work; ownership of DAFO in project implementation and reporting; land use planning, agriculture, and extension work; time considered to work with villagers; project household selection for grant; budget planning and use; and progress evaluation of the project.

**Sayabouri province:** A workshop was held in at provincial level on 21/03/2022 at the meeting room of Agriculture and Forestry department in Sayabouri district. It was attended by 62 participants (13 females). The workshop chaired by Mr. Phongkeo Bounyavong, deputy head of PAFO, and co-chaired by Dr. Oupakone Alounsavath, DDG of DOF. The representative from REDD+, DoF, Provincial planning and investment department, provincial natural Resources and Environment, provincial Lao front for national construction, provincial women's union, Agriculture and Forestry department, provincial natural Resources and Environment, representative of provincial planning and investment department, provincial Lao front for national construction, provincial Lao women's union, vice district governor, head /deputy head of DAFO of 5 districts, coordinator committee from related sections of PAFO, provincial and central GIZ team participated. The workshop agreed that the following: project coordination work should be improved; the budget for 2022 should be considered; procurement should be sped up; checking the completed village in land use planning; related offices should have more ownership in project implementation; for Project 2 development, the province agreed and is ready to cooperate; the report is late and related parties should pay more attention to completing it on time; and it should be established the coordination office at the district base.

**Houaphan province:** A kick off workshop was held in at provincial level on 25/03/2022 at the meeting room of cultural hall in Xamnua district. It was attended by 78 participants (7 females). The workshop chaired by Mr. Khin Thoummal, deputy head of PAFO, and co-chaired by Dr. Oupakone Alounsavath, DDG of DOF. The representative from DoF, Provincial Agriculture and Forestry Department, Provincial Natural Resources and Environment Department, Provincial Industry and Commerce Department, Provincial Planning and Investment Department, Provincial Defense, Provincial Public Security, Provincial Lao Front for National Construction, Provincial Women's Union, Vice district governor (7 districts), and DAFO (7 districts) participated. The workshop agreed that land use planning is sensitive work and very important for sustainable forest management planning, so the boundary should be clearly identified both from village to village and district to district. Implementation should be done with caution if necessary. For sustainable agriculture promotion, the next project will provide the village fund and participatory sustainable agriculture promotion planning with villagers. The workshop agreed to continue the GCF Project 2 to be implemented in the project's target villages.

Stakeholder consultations with the private sector

Stakeholder consultations to inform the Feasibility Study and proposal preparation have been conducted with private sector entities and agri-MSMEs from 20/02/2022 to 06/03/2022. Consulted business included, amongst others, Singta Agriculture Extension Company based in Xay, Oudomxay province, Kanthavong production and processing promotion Co., Ltd based in Viengphoukha district, Luang Namtha province, Pattana Kasikorn Sole Co., Ltd based in Xay district, Oudomxay province, and a rattan furniture manufacturing business based in Viengphoukha district, Luang Namtha province. Case studies of MSMEs have been included in the Feasibility Study for Project 2 (FP Annex 2a). The enterprises focus on agricultural production, processing and trade of products such as Cardamom, Mung bean and Pumpkin, broom grass, palm fruit, mulberry bark, and rattan handicraft. Other private sector stakeholders consulted include NTFPs and agriculture products collectors at district level, handicraft villages and broom producer groups. In total, 78 private sector stakeholders have been consulted, including 24 women. Agri-MSMEs noted some of the barriers related to the development of value chains and specifically the unreliability of suppliers (quantity and quality); the high costs of transportation and more general challenges associated to having to work and plan around a commodity quota system. Several of the agri-MSMEs consulted also expressed needs for technical assistance to support value chain development.

#### Stakeholder consultations with civil society organizations

Consultations with CSOs have been conducted from 10. to 18.03.2022 with nine CSOs from different sectors (gender, ethnic minorities, education, environment and agriculture) interviewed:

- Wildlife Conservation Association (WCA)
- Social Development Alliance (SODA)
- Sustainable Agriculture and Environment Development Association (SEADA)
- Maeying Houm Jai Phattana
- Lao Biodiversity Association (LBA)
- Gender Development Association (GDA)
- Green Community Development Association (GCDA)
- Community Development and Environment Association (CDEA)
- Association for Development of Women and Legal Education (ADWLE)

CSOs were provided with a brief description of the project and relevant activities, and were consulted for their feedback on the project, as well as technical insight in their areas of expertise to identify best practices, lessons learned and key considerations for Project 2. A brief description of relevant work areas, can be found in the Annex 1 of this SEP.

Consulted CSOs highlighted the relevance of the Project and its interventions, highlighting challenges posed by climate change and deforestation and forest degradation in Northern Lao PDR.

The CSOs provided the following recommendation for project implementation and potential challenges:

**Table 4. Feedback collected from CSO consultations**

Feedback	How feedback is addressed in project design
<ul style="list-style-type: none"> <li>The project needs to clarify the process on benefit sharing with the community</li> </ul>	<ul style="list-style-type: none"> <li>The process on benefit sharing has been clarified in the revision of Component 2, where Activities 2.1.1 and 2.1.2 clearly describe the Promotion of Sustainable and Deforestation-free Agricultural Practices and Value Chains (PSAP) and Village Forest and Agriculture Grant (VFAG) processes, including the participatory planning, FPIC and decision making processes. In addition, the project has further included Activities 2.1.4 and 3.1.2 that will support the implementation of the ER Programme's approved Benefit Sharing Plan, which has been developed based on extensive stakeholder consultation.</li> </ul>
<ul style="list-style-type: none"> <li>If possible, governments should engage CSOs as project implementation partners. The project should reserve a slot of budget allocation for CSOs' involvement. CSOs should be involved in all stages of the project phase, including planning, implementation, monitoring, evaluation, and reporting.</li> </ul>	<ul style="list-style-type: none"> <li>Project executing entities (EEs) have to pass a due diligence process and it was not possible to include a CSO as an EE.</li> <li>That said, there are opportunities explicitly highlighted within the Funding Proposal (FP) and Feasibility Study (FS) where CSOs and organizations including the Lao Women's Union and the Lao Front for National Development are engaged throughout project implementation as key actors (e.g. FPIC meetings, awareness raising, information dissemination, trainings on gender equality and social inclusion, technical assistance, among others).</li> </ul>
<ul style="list-style-type: none"> <li>The project should ensure that it is able to deal with COVID-19 induced changes in land use. One CSO described the challenge that COVID increase deforestation rates because many young people come back from Thailand and other provinces without local employment opportunities. Therefore, they went to expand land area by forest clearing or converting forest land to grass land for cattle rearing. To avoid negative impacts, appropriate land use planning and land use zoning should be considered. Another example was that the national protected areas have been threatened by the communities during the COVID-19 outbreak because the forest inspection unit was not able to go out for monitoring and patrolling.</li> </ul>	<ul style="list-style-type: none"> <li>Participatory approaches, including Participatory Land Use Planning (PLUP 2.0) (Activity 1.2.2), PSAP (Activity 2.1.1) and Village Forest Management (VFM) (Activity 3.1.1), will ensure that current trends are reflected throughout the processes to facilitate land use planning. Support for communities in NPAs and National Parks will also be provided by the Project, including implementing village forest conservation agreements, and supporting village patrols (Activity 3.2.1). Additional support for improving monitoring and law enforcement will be further supported by the project (Activity 1.2.1)</li> </ul>
<ul style="list-style-type: none"> <li>Clear communication should be ensured by the project. Maeying Houmjai Phattana recommended that it is an important thing to build the capacity of the government coordinator on communication and facilitate women's participation, because the government coordinator has the responsibility of announcement to women to participate in the activities.</li> </ul>	<ul style="list-style-type: none"> <li>Gender equality and social inclusion (GESI) is considered a cross-cutting element and will be mainstreamed through project-related products/ materials, and trainings. Where suitable, CSOs, the Lao Women's Union and the Lao Front for National Development will be engaged to support these processes.</li> </ul>

<ul style="list-style-type: none"> <li>▪ The project implementation committee at all levels should have women as members, including at district and village levels.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Lao Women's Union (LWU) is part of the Steering Committees and also participates in all implementations (included as target in GAP).</li> <li>▪ At the village-level, the project emphasizes the participation of women for all different committees (e.g. VFAG and VFM committees) and sets key targets to ensure representation and participation (see the Gender Action Plan in FP Annex 8b).</li> </ul>
<ul style="list-style-type: none"> <li>▪ The project should be aware that the ownership of village authority on monitoring and law enforcement is considered a challenge. Policy enforcement is needed to be improved, including coordination at the local level.</li> </ul>	<ul style="list-style-type: none"> <li>▪ This is recognized, and the project aims to strengthen ownership through PLUP, incentives for the adoption of sustainable and climate-resilient agricultural practices, Sustainable Forest Management (SFM) and Forest Landscape restoration (FLR). In addition, the project will support monitoring and law enforcement within Activity 1.2.1 (provincial deforestation monitoring systems), Activity 3.1.1 (VFM monitoring and village patrols), Activity 3.1.2 (National Protected Area (NPA) monitoring and village patrols). Under Activity 1.2.1 additional emphasis has been added under Project 2 to harmonize local approaches and strengthen coordination.</li> </ul>
<ul style="list-style-type: none"> <li>▪ Professional technical experts in agriculture promotion are recommended as one of the most important resources for supporting project implementation. Here, a challenge that the project needs to deal with, as emphasized by a few CSOs, is that technical staff who have more expertise often move to the responsibility of administration positions, so it is needed to again train the new technical staff.</li> <li>▪ The project should be focused on long-term capacity building systems for technical staff and their organizations that is not limited to one single training course.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Knowledge management is a cross-cutting element of the project, and there will be an emphasis on the institutionalization of trainings (training trainers and developing training materials that can be replicated, development of standardized materials, etc., to ensure that knowledge is retained. For more detailed information refer to the project's Knowledge Management Plan in the FS (Annex 2 to the FP)</li> </ul>
<ul style="list-style-type: none"> <li>▪ The professional technical skills of the extension staff should be strengthened.</li> <li>▪ Limited knowledge and understanding of Climate Change (CC) and adaptation by villagers should be improved by the project</li> <li>▪ Encourage farmers to be role models for other community members by sharing their experiences and lessons learned. Resilient agriculture will need more technical support, more patience in practice, and more attention from authority staff to be sustainable in the future. The project needs to ensure that the technical staff members or extension workers have expertise in this field. The limited availability of knowledge, languages, technology transfer, and extension services will be the barriers.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Additional funds have been dedicated to strengthening extension support under Component 2. This will further include an emphasis on knowledge and learning, which will enable adaptive management and strengthen knowledge on best practices (sharing experiences and lessons learned). In addition, capacity building on climate change, including climate risk and vulnerability and best practices to strengthen adaptation in the Agriculture, Forestry and Other Land Use (AFOLU) sector, will be mainstreamed throughout the project. This will include training government staff (including at the district level) on these practices, and training villagers on these topics.</li> </ul>

<ul style="list-style-type: none"> <li>▪ The project should promote women's self-empowerment and more trust in themselves. The project should closely work with the village chief and a representative of women at village level to ensure women's engagement in the project</li> </ul>	<ul style="list-style-type: none"> <li>▪ GESI is considered a cross-cutting element throughout the project. The project has a gender action plan (Annex 8b to the FP), which will be implemented to strengthen gender equality throughout project implementation. Additional measures have been integrated to reflect lessons learned from Project 1, and further ensure adjustments in Project 2's design are reflected in the Gender Action Plan (FP Annex 8a).</li> </ul>
<ul style="list-style-type: none"> <li>▪ The villagers have traditional knowledge of NTFP collection for their daily livelihood (food, selling it to make income, using it for medical health care, water storage). Some surplus is sold seasonally to make income. Sustainable NTFP harvesting and additional planting, processing, and marketing should be promoted (e.g. bee culture; cardamom plating in the existing forest, rattan planting, ginger planting, coffee planting, mushroom conservation, or bloom flower conservation). Promoting traditional crops and reducing crop imports from outside or abroad should be considered.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The project will support villages to sustainably manage village forests (Activities 3.1.1, 3.1.2 and 3.2.1), and will enable them to economically benefit from the sustainable production of NTFPs and timber – in line with the revised Forest Law.</li> <li>▪ The white list further includes numerous of these products for measures supported, including within agroforestry systems, under the PSAP approach (Activity 2.1.1).</li> </ul>
<ul style="list-style-type: none"> <li>▪ Chemical/pesticide/herbicide use is a main challenge for agriculture practice. The project should be aware that use of chemicals/pesticides/herbicides has increased recently.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The project is aware of this, and will include sensitization of chemical/ pesticide/ herbicide use. The project will promote organic alternatives, and will <u>not</u> promote or procure fertilizers or pesticides. For more information refer to the Pest Management Plan within the Environmental and Social Impact Assessment (FP Annex 6a).</li> </ul>
<ul style="list-style-type: none"> <li>▪ It is important that the project promotes market development. This can ensure that there is not only one trader on which the communities depend in selling their agriculture produce. In this context, promotion of agricultural production should be linked to the wider market, including improvement of quality of the product, selling price, production processing, and of value-adding.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Activity 2.2.1 will support agri-MSMEs and support the strengthening of climate-resilient and deforestation-free agricultural value chains. This will help strengthen markets and value chains (including value adding activities) that incentivize sustainable practices.</li> </ul>
<ul style="list-style-type: none"> <li>▪ The project should apply participatory approaches as the level of participation is a key factor affecting communities' contribution to forest management. Yet, it does not guarantee social acceptance because villagers are mostly dependent on forest resources for their livelihood. Therefore, the project should support village community forestry, including a livelihood and business funding approach. Moreover, local leadership is a decisive factor in the success of community-based forest management.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The project supports village forest management, and will support villagers to economically benefit from the sale of sustainably produced products – in line with revisions to the forestry law. Participation is voluntary and based on FPIC. Participatory practices will be promoted by the project from FPIC to PLUP to PSAP and VFM. Attention will be paid to support local villagers in target villages to strengthen their livelihoods, through the sustainable commercialization of products under VFM (in line with the new forestry law), and/ or through the adoption of improved agricultural practices. Support for agri-MSMEs will further build capacities, including on business plan development, and will strengthen markets and value chains for sustainably produced products.</li> </ul>

	<ul style="list-style-type: none"> <li>Capacity building of VFM, and VFAG committees will be supported by Project 2, including on topics related to GESI. The project will also actively monitor its impact and ensure regular and transparent reporting (including on targets for representation of women in such committees).</li> <li>The project's grievance redress mechanism (GRM) is described in detail in the Environmental and Social Assessment (ESIA, Annex 6a) and Ethnic Group Development Plan (EGDP, FP Annex 6d), and will be accessible to affected stakeholders to file complaints and/ or grievances.</li> </ul>
<ul style="list-style-type: none"> <li>Forest management systems are not well integrated into the overall land use system, therefore, a holistic planning approach combining both forest management and agriculture is recommended.</li> </ul>	<ul style="list-style-type: none"> <li>The project supports an integrated approach, where PLUP is conducted at a village level (with agricultural and forestry land uses present), and is then also compared with neighbouring villages in a village cluster (landscape level, under Activity 1.2.2). Based on these plans, then more detailed planning for agriculture occurs under the PSAP (Activity 2.1.1) and VFM/ ViFOCA (Activities 3.1.1 and 3.2.1).</li> </ul>
<ul style="list-style-type: none"> <li>The rights and power of villagers and village authorities on forest management and use should be clearly identified.</li> </ul>	<ul style="list-style-type: none"> <li>Participatory processes, from PLUP to PSAP to VFM, will be applied and will ensure villagers and village authorities are aware of their rights. This will be accompanied by the projects FPIC process, which is mainstreamed in the project's approach.</li> <li>VFM is based on detailed guidelines using best practices, that includes a transparent and participatory process to develop management plans. Both villagers, village authorities and district government officials are engaged, and attention will be paid to create a transparent and accountable management plan, agreeable to villagers. The plan needs to be approved by villagers prior to the approval by the government.</li> <li>In case any issues occur, the projects complaints and GRM will be accessible to all affected stakeholders.</li> </ul>
<ul style="list-style-type: none"> <li>NPA management will have potential negative impacts on these communities, groups, and/or people because most of these communities rely on these resources. Crop cultivation for food security of the household should be the focus before moving to strictly NPA protection and management.</li> </ul>	<ul style="list-style-type: none"> <li>The project does not promote strict NPA protection, but applies an approach that works to develop NPA management plans in a participatory process, and then will develop and support the implementation of village forestry conservation agreements (ViFoCA), following the approach of the KfW ICBF project. This approach is fully aware that villagers in and adjacent to NPAs are dependent on these resources, and includes participatory planning and implementation support for sustainable activities that will support and strengthen their livelihoods (including agroforestry, among other activities).</li> </ul>
<ul style="list-style-type: none"> <li>The project should ensure that trainings are conducted in local languages and provide interpreters, if needed. Most challenges to ethnic women's participation are communication and access to information because of language barriers, especially for Hmong and Lahoo ethnics. There are language barriers and difficulty communicating with outsiders</li> </ul>	<ul style="list-style-type: none"> <li>The project is aware of this challenge and will ensure that interpreters are available and present if needed. The Ethnic Group Development Plan emphasizes that translation support will be available, and key materials will be provided in local languages, where suitable (FP Annex 6d). Project 1 gathered experience and the use of local languages was monitored. This confirmed that local languages have been used in village meetings</li> </ul>

<p>among women of ethnic minorities. From the experiences of SODA working with Alak, Yea, and Trieng ethnic groups (under the Mon-Khmer languages group), many women who participated in women's group discussion did not want to speak out, and there were only 2 or 3 women who could better understand the Lao language and shared their experiences in the meeting. Limited access to information is the biggest challenge women and ethnic minorities face. Language barriers and difficulties communicating with outsiders are two examples of their limited information access. The men are more advanced if compared to the women in each group.</p>	<p>concerning all activities (including FPIC) in relevant villages. Project 2 will build on this experience and ensure accessibility to all activities.</p>
<ul style="list-style-type: none"> <li>Local and traditional knowledge should be mapped, shared, and scaled up based on proper location. Women do well know how to use NTFPs, so include them on village forest committees. Each ethnic minority has their own traditional knowledge and capacity. This knowledge and capacity should be listed and mobilized to support project implementation.</li> </ul>	<ul style="list-style-type: none"> <li>NTFP management and development will be promoted under Activity 3.1.1 on VFM, and attention will be paid to ensure women's representation on VFM committees. The project will ensure fair participation and access to these activities for women and ethnic minorities.</li> <li>In addition, attention will be paid to strengthen the engagement and involvement of women and ethnic minorities during implementation, including supporting them to ensure their perspectives and priorities are reflected within VFM plans, and PSAP investment plans.</li> </ul>
<ul style="list-style-type: none"> <li>There is a limited knowledge and understanding of CC and adaptation. The project needs to improve the understanding of ethnic minority groups of climate change. This will encourage them to participate in project activities; if they do not understand, they will be dissatisfied.</li> </ul>	<ul style="list-style-type: none"> <li>The project will work on capacity building regarding Climate Change and adaptation. Sub-Activity 2.1.1.1 will focus on capacity building and knowledge management for sustainable and climate resilient agricultural practices and technologies. Sub-activity 3.1.1.1 will work on mainstreaming climate change adaptation in VFMP processes and training DAFO and PAFO on climate change adaptation within village forestry. Further, Sub-activity 3.2.1.1 exclusively focusses on capacity building on climate change adaptation and NPA management.</li> </ul>
<ul style="list-style-type: none"> <li>There is limited in access to information on laws and regulations on forest conservation and management and sustainable land use available to villagers, including ethnic minority groups. Appropriate information and education material for ethnic women and ethnic minority groups should be developed and distributed with frequency, such as including forest or land law content in the materials.</li> </ul>	<ul style="list-style-type: none"> <li>Awareness raising on laws and regulations will be cross-cutting throughout the project, including in trainings and outreach on PLUP, PSAP, VFAG, VFM and NPA management (including revised regulations supported under Project 1). Attention will be paid to ensure this information is tailored to its audience, and provided in culturally appropriate formats, including in local languages where suitable.</li> <li>Component 2 will include an activity with targeted extension support, and trainings will be held to build the skills of local men and women on good agricultural practices and PSAP. During the PSAP planning and implementation process, attention will be paid to ensure supported activities reflect the needs and priorities of men and women from different ethnic groups, and that appropriate information and materials are provided.</li> </ul>



	<p>Again, where necessary local translation or additional facilitation support will be provided.</p> <ul style="list-style-type: none"> <li>▪ Under Component 3 will Village Communities will be trained by capacitated government staff to implement sustainable (village) forest management plans. This activity will include the development of appropriate information and education material.</li> <li>▪ The Environmental and Social Development Plan (ESMP), Gender Action Plan (GAP) and EGDP will ensure quotas for the participation of women and ethnic groups in all relevant project activities.</li> </ul>
<ul style="list-style-type: none"> <li>▪ The project should monitor who fills which roles in project implementation (e.g. responsibilities of the target groups, such as productive roles, responsibilities to access to and control of resources, and decision-making roles &amp; responsibilities) to see the positive or negative impact of ethnic minority groups.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The participation of ethnic groups in project activities and target groups will be closely monitored and reported on in annual performance reports. As there will be quotas for their participation, the impact of ethnic minority groups on project implementation will be ensured and monitored. For more information, refer to the Ethnic Group Development Plan in FP Annex 6d.</li> </ul>
<ul style="list-style-type: none"> <li>▪ The project should consider that working with ethnic minorities in remote areas with limited road access and no phone signal is most difficult</li> </ul>	<ul style="list-style-type: none"> <li>▪ The project is aware of this challenge and aims at designing simple processes where possible and emphasizes local structures in implementation.</li> </ul>

### Provincial level stakeholder consultations

Local consultations have been conducted in three provinces: Sayabouri, Luang Prabang and Oudomxay. The first two provinces have been part of Project 1 and will continue to be covered by Project 2. Oudomxay is a new province under Project 2. The following table provides an overview of the conducted consultations. In total, 190 people were consulted, of which 82 have been female (43%). Concerning ethnicity, 94 of the participants were Lao (27% female), 59 persons were Khmu (68% female), 33 persons were Hmong (42% female), and 4 identified themselves with another ethnicity, which has not been further defined.

**Table 5. Overview of provincial level stakeholder consultations**

Province	District	Date	Agreed travel plan	Consultations held
Sayabouri	Thongmixay	13.03.	Travel from Vientiane to Thongmixay	-
		14.03.	Consultation at District Level (Thongmixay)	3
		15.03.	Consultation at Village Level (Kan)	3
	Sayabouri	16.03.	Consultation at District + Village Levels (Sayabouri + Houaysangaem)	3+3
Luang Prabang	Nan	17.03.	Travel to LPB Province, Nan District	-
		18.03.	Consultation at District Level (Nan)	3
		19.03.	Consultation at Village Level (Keomany + Pha Yuak)	3+4
	Viengkham	20.03.	Travel to Viengkham District	-
		21.03.	Consultation at District + Village Levels (Viengkham + Done Khoun)	3+4
Oudomxay	Xay	22.03.	Travel to Oudomxay Province, Xay District	-
		23.03.	Consultation at District + Village Levels (Xay + Mokok)	3+3
	Nga	24.03.	Travel to Nga District	-
		25.03.	Consultation at District + Village Levels (Nga + Houay Kham)	3+3
		26.03.	Consultation at Village Level (Thin)	3

### *Consultations in Sayabouri Province*

Sayabouri consultations were held at both the district and village level. In Thongmixay District, DAFO, District Lao Women's Union (DLWU), District Lao Front For National Development (DLFND), and District Office of Natural Resources and Environment (DONRE) were consulted. In Sayabouri District, officials from DAFO, DONRE, and DLWU were spoken to. Generally, the project was received well, Project 1 was considered to be very useful as people have increased their knowledge and understanding on forest management and sustainable livelihoods. They noted the project strengthened forest management operations at the local level, especially for women who noted they have a better understanding of gender roles, and provided access to project funding for poor and female headed families. Project 1 was further perceived as helpful to reduce deforestation in the target provinces and districts. In Sayabouri, conflicts between some households who have received funding and those who did not was mentioned as a barrier.

At village level, the field team visited Kan Village in Thongmixay District (19 villagers, incl. 12 women) and Houaysangaem Village in Sayabouri district (18 villagers, incl. 6 women). At this level, the villagers have been well informed about the project and had participated in Project 1 on FPIC, land use planning, forest protection activities, sustainable agriculture and Village Forest and Agriculture Grants. It was stated that all people living in the village were able to participate, regardless of gender or ethnicity. For instance, women had joined the committees with men and helped to spread the laws and patrol the forests.

For Project 2, it was recommended to increase opportunities for technical staff in relevant fields to participate in trainings and activities and to put more emphasis on conciseness and detail for funds

given to poor families. More tools for distributing information, such as printers, projectors or posters have further been requested. Generally, the expectation was to increase the number of target villages and the number of families who receive financial assistance.

#### *Consultations in Luang Prabang Province*

Luang Prabang consultations were held at both the district and village levels. In Nan District and in Viengkham district the DAFO, DoNRE, DLWU and LFND have been consulted. In those district, the performance of Project 1 had also been well perceived. It was stated that Project 1 has been very useful because, locals have become more aware of forest management and land use planning, as well as land allocation. It was appreciated that the project provided financial assistance to some low-income families and those involved in shifting cultivation in order for them to practice sustainable agricultural production and animal husbandry. Yet, some barriers have also been identified, such as a lack of equipment (e.g. vehicles) to fully meet the local needs, and the limited time available for trainings to create a good understanding of the project among the local population (additional extension support was requested). Concerning Project 2, the expectations have been similar to Sayaboury province in that it was expected to increase the number of target villages and the number of families who receive financial assistance.

At village level, the field team visited Keomany village (26 villagers, incl. 18 women) and Pha Yuak Village (11 villagers incl. 9 women) in Nan District and Done Khoun village (15 villagers, incl. 9 women) in Viengkham district.

#### *Consultations in Oudomxay Province*

In Oudomxay, consultations were held at both the district and village levels. In Xay District and in Nga district the DAFO, DLWU and LFND have been consulted. Oudomxay province is one of the three new provinces which will be covered under Project 2. Therefore, the consulted stakeholder did not have prior experience with Project 1, but shared their expectations concerning Project 2. It was said that the upcoming project may help reduce deforestation in the target provinces and districts because it provides funding to protect the forest and improve the lives of the people. However, there were also some risks mentioned, such as low levels of education and the villagers' strong dependency on the forest. This may cause people to return to invading and using forest resources after the project is phased out, and special attention is needed to develop a strong exit strategy. The project will need to make sure that accomplishments are sustainable and last in the long-term. It was highlighted that technical skills are available to collaborate with the project, but a close coordination would be needed for implementation. Some staff expect the project to provide training on IT, and GIS.

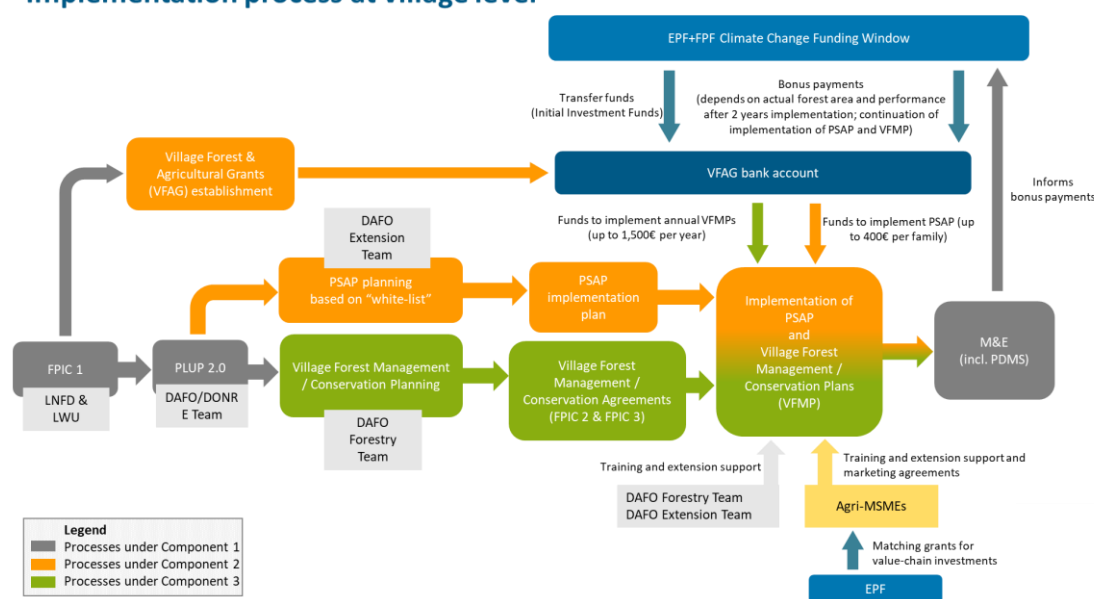
At village level, the field team visited Mokok Village in Xay District (5 villagers, incl. 2 women) and Houaykhan Village (15 villagers, incl. 10 women) and Thin Village (14 villagers, incl. 3) in Nga District. At local level, the villagers hope that the project may help to manage the forest and improve people's livelihoods while reducing pioneering slash-and-burn cultivation. Forests will be rehabilitated, degraded forests will become green forests, and land will be well allocated and managed. Based on this, the lives of the community could improve. A challenge for implementation was seen in the remoteness of some areas as some villages along the Mekong River, which do not have access to the road network or to electricity. It was further mentioned that some minorities do not understand the Lao language well. Therefore, the project would need to take caution to mobilize ethnic groups to participate in the project activities and ensure adequate translation.

### 3 STAKEHOLDER ENGAGEMENT PROCESS FOR PROJECT IMPLEMENTATION

For all activities implemented with villagers at the local level (e.g. land use planning and activities within Components 2 and 3), participation is voluntary and based on the principle of FPIC (see Figure below). FPIC agreements will be made with all participating villages prior to the implementation of interventions. PPMUs will mobilize specialized capacity, targeting the district and *kumban* levels, regarding training on FPIC principles and practices, and ensuring FPIC principles are appropriately applied for the project's consultations. They will further be trained on gender and social inclusion, to promote the participation of diverse stakeholders, including women and members of different ethnic groups.

A communication and information dissemination plan will be elaborated within the projects' inception phase. Annual implementation plans will include information on planned stakeholder engagement.

#### Implementation process at village level



**Figure 2. Overview of the project's implementation process at the village level and FPIC approach**

#### Consultation, trainings and workshops

Consultations will inform stakeholders of the project's progress, encourage feedback, support capacity building and implementation, raise awareness and validate findings. They will serve as an important tool to foster ongoing two-way communication throughout the project from its inception until completion. The following considerations will be followed when designing consultations:

- Consultations will be conducted in a manner that is accessible and culturally appropriate, paying due attention to the specific needs of beneficiaries and others who may be affected by project implementation (including gender, literacy, language or accessibility of technical information).
- The objective and the anticipated results of the consultation will be clearly stated.
- Consultation design will take into account the specific stakeholders targeted, and their context (interests, capacities, cultural background).
- Information provided in consultations will be transparent, easy to understand, promote inclusiveness and gender sensitivity.
- Suitable trainers and facilitators will conduct the consultations, including trainers who are trained in social inclusion and gender equality. Translation services should be provided for non-Lao speaking ethnic groups (when necessary).
- Transparent, accurate and consistent documentation and reporting will be required from all consultations. Attendance sheets should be collected from each meeting, along with meeting summaries and photos. A record of all consultations conducted within the framework of the project should be managed by the project management units, with reporting conducted by the NPMU.

Within each Activity, there are various actions and action inputs planned that include stakeholder engagement and consultations, with detailed actions described in Chapter 6 of the Feasibility Study, information on inputs provided within the Log Frame of the Feasibility Study, and detailed budgeting for stakeholder engagement within the project's budget.

#### *Reporting on stakeholder engagement*

GIZ and MAF/DoF will provide regular updates on project implementation, through various media sources (online, print, workshops, among others). Online communications and information-sharing will be promoted, including through a bilingual national REDD+ website hosting data, communication and educational materials regarding REDD+ (including the ER Programme). When appropriate, information will be presented in other local languages to reach diverse ethnic groups (see the Knowledge Management Plan in the Feasibility Study within FP Annex 2a for further information).

Annual reporting will further provide an overview of consultations and workshops conducted, and will provide insight into upcoming events for the following year. In order to ensure the widest dissemination and disclosure of project information, including any details related to applicable environmental and social safeguards, local and accessible disclosure tools including audiovisual materials such as flyers, brochures, videos and community radio broadcasts will be utilized in addition to other communication modes. Furthermore, particular attention will be paid to women, ethnic groups, illiterate or technologically illiterate people, and people with hearing or visual disabilities, people with limited or no access to internet and other groups with special needs. The dissemination of information among these groups will be carried out with the project counterparts and local actors such as village and *kumban* leaders, producer associations, CSOs, Lao Women's Union, among other regional actors.

## 4 INCORPORATION OF WOMEN AND ETHNIC GROUPS

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### Incorporation of women

A Gender Action Plan (GAP) has been elaborated (Annex 8b) to mainstream gender-related measures into the project, ensuring that gender-related risks are avoided or mitigated, and to maximize climate and development co-benefits for both men and women. It pays special attention to women, considering that women are not a homogeneous group, and the additional challenges that women from different ethnic groups may face. The plan includes:

- Gender-responsive actions for all project activities, as well as cross-cutting measures that address and strengthen the voice and agency of women in climate action within the context of the proposed project. Timelines and responsibilities are indicated within the GAP.
- Gender-responsive result indicators and sex-disaggregated targets to be integrated into the results framework.
- Presentation of gender-responsive development impacts.

The plan provides an overview of how women's engagement throughout the project will be positively targeted, and how the project will promote gender equality through all of its activities and within project management (refer to the gender assessment and gender action plan for more detailed information).

### Incorporation of ethnic groups

"Lao PDR has endorsed the *International Labour Organization Convention 169 on Indigenous and Tribal Peoples (ILO 169, 1989)* and *United Nations Declaration of Indigenous Peoples' Rights (UNDRIP, 2007)* but the Government of Lao PDR (GoL) does not recognize the concept of indigenous peoples in its policies and legislation. Instead, the term "ethnic group" is officially used to describe its people, who are categorized into 49 broad ethnic groups. [...] Ethnic group diversity is reflected in a rich diversity of **ethnic languages**. Each ethno-linguistic family is divided into main ethnic groups and is further described through sub-ethnic groups. Some ethnic languages are only spoken languages, and do not have written forms."<sup>15</sup>

*"The ER-Programme area is home to an array of inhabitants from diverse ethnic groups. The three major ethno-linguistic families in the ER Program area are the Lao-Tai, the Mon-Khmer, and the Hmong-Hmien. According to 2005 data, around 45% of the regional population belong to the Lao-Tai ethno-linguistic family, 30% to the Mon-Khmer, 15% to the Hmong-Mien and the remaining groups in the Sino-Tibetan compose the remaining 10%.<sup>16</sup> [...] Thus, these six Northern provinces are notable insofar as in this region, the Lao-Tai ethnic groups comprise less than half the population, whereas nationwide they comprise two-thirds of the population. Thus, other ethnic groups are more numerous in these Northern provinces (refer to Chapter 2 of the Feasibility Study and the ESIA (Annex 6a) for more detailed information)[...] Generally speaking, these groups tend to have lower rates of education, especially among girls and women, lower rates of self-reported land ownership, higher rates of poverty, and more food insecurity than Lao-Tai groups."<sup>17</sup>*

While the project is anticipated to have largely positive impacts for these groups, if improperly implemented or if safeguards are not sufficiently in place there could be negative impacts on the livelihoods and wellbeing of ethnic groups in the project region.

The socio-economic risks that may arise during the implementation will certainly be higher in some areas than others but are also likely to fluctuate over time. This underscores the requirement an Environmental and Social Management Plan, and a Environmental and Social Management System that is based on adaptive management – see FP Annex 6b. The high percentage of non-Lao-Tai ethnic groups in the project area requires a higher degree of risk management as per the GCF Indigenous People Policy. As such, an Ethnic Group Development Plan has been developed, in line with the GCF Indigenous Peoples Policy, to safeguard the rights of ethnic minorities and ensure they are able to benefit from the proposed project (FP Annex 8d).

### *Targeted participation and enhanced support for vulnerable ethnic groups*

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<sup>15</sup> ER-PD SESA Report 2017, p. 27

<sup>16</sup> Lao PDR Housing and Population Census 2005

<sup>17</sup> ER-PD 2018, p. 33

The project will make sure that ethnic groups, especially particularly vulnerable groups, will benefit from the project's activities. Vulnerable households at the village level will be positively targeted through project activities utilizing participatory approaches and providing necessary technical support and other inputs.

For the successful implementation, the specific situation of different ethnic groups, and in particular vulnerable households, are taken into account. The project will finance measures that enable diverse ethnic groups to have better access to land, technical support for implementing good agriculture practices, sustainable land management (SFM, FLR, etc.), and green finance measures. Such measures include:

- FPIC and existing national laws and international commitments related to ethnic groups (and indigenous peoples) must be respected. FPIC processes will be initiated with all participating villages prior to the implementation of land use investments. FPIC agreements are mandatory to participate in activities.
- A participatory and inclusive approach will be applied that take into account regional and cultural diversity within the project area. For example, Activity 1.4 allows for village land use planning to be based on participatory processes, where prioritized activities are identified based on the village's priorities, context and differentiated vulnerabilities and needs.
- Project staff and trainers will include male and female representatives from diverse ethnic groups. They will all receive training on gender equality and social inclusion within the context of the project.
- Outreach, extension / technical support at the community-level, workshops and capacity building activities will be socially inclusive, aware of culturally diverse contexts and norms, and take into consideration local knowledge. Where necessary, the project will ensure the availability of translators (either from within the community or from external sources, if necessary) to facilitate the dissemination of knowledge and information. Translation can be provided for oral workshops, extension materials and other project-related materials (e.g. videos, radio programs, publications, etc.).
- Particular attention will be paid to women, ethnic groups, illiterate or technologically illiterate people, and people with hearing or visual disabilities, people with limited or no access to internet and other groups with special needs. The dissemination of information among these groups will be carried out with the project counterparts and local actors such as village and *kumban* leaders, producer associations, CSOs, Lao Women's Union, among other regional actors.
- Opportunities for collaboration with other stakeholders (e.g. CSOs) will be sought out to strengthen stakeholder outreach and the engagement of various ethnic groups and vulnerable households. This includes local CSOs/ NGOs, the Lao Front for National Construction, and the Lao Women's Union.
- Alternative livelihood activities will be supported in the agriculture and forest sectors, where extension trainers will develop a strategy to target and engage highly vulnerable households and provide technical support in culturally-appropriate ways (see Activity 2.1). Livelihood interventions were identified as important to support the transition to low-carbon development pathways, based on REDD+.

## 5 INCORPORATION OF STAKEHOLDER FEEDBACK INTO MANAGEMENT DECISIONS

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Feedback and the results of consultations and workshops will be shared with the National Project Management Unit (NPMU), Provincial Project Management Unit (PPMUs), District Project Management Unit (DPMUs) and National Project Steering Committee (NPSC) as key information to facilitate decision-making from an informed point of view. Project management will ensure proactive project management and will respond as necessary, based on stakeholder feedback, to ensure the project's implementation is on track and respects social and environmental safeguards.

The NPMU and PPMUs will include safeguard and M&E specialists, responsible for overseeing social and environmental safeguards.<sup>18</sup> At the district level, a representative of the DPMU will be designated as the district safeguards and M&E officer and will receive training on safeguards and the project's grievance redress mechanism. They will work closely with the safeguard and M&E specialists within the NPMU and PPMUs. They will ensure ongoing environmental and social management throughout the project and will further cover measures related to stakeholder engagement.

During project inceptions, planning documents, standard operating procedures, guidelines and management systems will be established or specified, where the safeguards expert will be responsible to ensure that they promote gender equality and social inclusion.

They will further be responsible for ongoing monitoring of social and environmental safeguards, ensuring that the project is able to respond as necessary to any unforeseen changes. This includes closely coordinating with project partners and PPMU/ DPMU staff to ensure project activities are conducted in an inclusive and equitable manner, closely overseeing the implementation of the gender action plan and environmental and social management plans.

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<sup>18</sup> A central function of these officers within the NPMU and DPMUs will be the monitoring and evaluation of project activities, including safeguards and the operationalization of the project's grievance redress mechanism. At the district level, the officer responsible for safeguards will not solely work on M&E and safeguards, but will support the NPMU and PPMU officers as necessary with reporting and data collection, and will support the management of district-level grievances. They will receive training on safeguards and the grievance mechanism, as well as gender and social inclusion.



## 6 TIMETABLE

The following table provides information on key considerations and events during project inception and implementation.

**Table 6. Timeline for stakeholder engagement activities**

Activity	Project Phase	Timeline*	Responsibility
Establishment of project management units (NPMU, PPMU and DPMU)	Inception	2023	MAF
Appointment of officers responsible for safeguard-related issues within DPMU, PPMU and PSC	Inception	2023	NPMU
Integration of updated contact information for grievance mechanism	Inception	2023	NPMU
Identification and training of staff and trainers for conducting community mobilization and sensitization	Inception	2023	NPMU
Community mobilization and sensitization	Inception	2023	NPMU, PPMU and DPMU in cooperation with government authorities
Ongoing stakeholder engagement events embedded in project activities (training, awareness raising, land use planning etc.; refer to Chapter 3 for more detailed information at the activity and action level, as well as the detailed project implementation timeline in FP Annex 5)	Implementation	2023-2027	NPMU, PPMU, DPMU
Periodic stakeholder update meetings and information dissemination	Implementation	2023-2027	NPMU, PPMU, DPMU
Regular monitoring and periodic reporting of project implementation (as described in Chapter 12)	Implementation	2023-2027	NPMU, PPMU and DPMU responsible for monitoring and reporting, in cooperation with government authorities supporting project implementation

\*Assuming project will start in mid-2023

## 7 RESOURCES AND RESPONSIBILITIES

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The implementation of the stakeholder engagement plan is seen as an important contributor to the project's success. Long-term safeguards and M&E specialists will work closely with the NPMU and PPMUs. They will oversee, guide and coordinate stakeholder engagement within the project, and ensure the successful implementation of the gender action plan and ESMPs. Monitoring will be compiled by the NPMU safeguards officer.

### Responsibilities

The responsibilities of the safeguards and M&E specialists, in close collaboration with the NPMU safeguards officer, include (among others):

- Liaison with all project stakeholders
- Overseeing project communication and stakeholder engagement
- Dissemination of information about the grievance mechanism to project partners, local communities, CSOs, among others
- Identification of local and provincial CSOs for collaboration on community outreach, information dissemination and other project activities
- Mediation between the project and the community
- Overseeing (implementing, monitoring and reporting) on the grievance resolution system
- Monitoring project progress, including in achieving the ESMP and GAP, and ensuring adaptive management (as needed).

The responsibilities of the safeguards and M&E specialists, in close collaboration with the PPMU safeguards officer, include (among others):

- Liaison with project stakeholders at the province level
- Overseeing project communication and stakeholder engagement in their province
- Dissemination of information about the grievance mechanism to project partners, local communities, CSOs, among others within the province
- Identification of local and provincial CSOs for collaboration on community outreach, information dissemination and other project activities
- Mediation between the project and the community for grievances filed at the provincial level
- Monitoring the grievance resolution system, with a focus on grievances filed in the province
- Supporting NPMU for project monitoring as required

The responsibilities of the safeguards and M&E specialists, in close collaboration with the DPMU safeguards officer include (among others):

- Overseeing project implementation at the district level
- Liaison with project stakeholders at the district level
- Project communication at the district level (in coordination with the PPMU and NPMU)
- Dissemination of information about the grievance mechanism to project partners, local communities, CSOs, among others within the district
- Mediation between the project and the community for grievances filed at the district level in coordination with the PPMU and NPMU (as requested)
- Supporting NPMU and PPMU for project monitoring as required

### Budgetary implications

Safeguard and M&E specialists will be hired by GIZ and work in close collaboration with the NPMU and PPMU. Their core responsibilities will be overseeing safeguards and project M&E.

At the national and sub-national project management units (NPMU, PPMUs and DPMUs) officers will be appointed the responsibility of overseeing safeguards and will receive training on safeguards and the project's grievance redress mechanism. At district level they will have other tasks (i.e. will not only work on safeguards and monitoring), but they will assist the safeguard and M&E specialists as well as the NPMU and PPMU officers as needed.

All costs have been integrated into the project budget.

### 8.1 Context of the stakeholder grievance mechanism

A grievance mechanism has been developed to acknowledge and address any negative impacts or complaints that arise as a result of the project. Any grievances should be analyzed and mitigated as quickly as possible to avoid any tensions or conflicts. The grievance mechanism is cost-effective as it is integrated into the institutional mechanism of the project.

The objectives of the grievance redress mechanism are to:

- Provide affected people an avenue through which they can voice their concerns and dissatisfactions;
- Create a platform in which stakeholders and village members can freely raise concerns and complaints to be effectively addressed;
- Demonstrate to project stakeholders and villages that they play an important role in project design and implementation;
- Follow up and report on efforts to take corrective action.

### 8.2 Existing feedback and grievance redress mechanisms in Lao PDR for REDD+

Under the national REDD+ policy framework, all stakeholders have the right to make requests, claims, complaints and requests for justice in accordance with the social and environmental safeguards measures and conditions; and transparency with respect to information, the distribution of benefits and responsibilities, legal and customary rights and participation in activities and processes.

Existing feedback and grievance redress mechanisms have been developed within the context of the National REDD+ policy framework and ER-PD process in Lao PDR. Such mechanisms have undergone detailed assessments and consultations within their respective processes.

The existing Lao PDR national Feedback and Grievance Redress Mechanisms (FGRMs) consist of several alternative mechanisms for registering grievances and feedback, and seeking redress. The type of grievance mechanism applied depends on various key considerations described in the following table.

**Table 7. Overview of feedback and grievance redress mechanisms applied for REDD+ in Lao PDR**

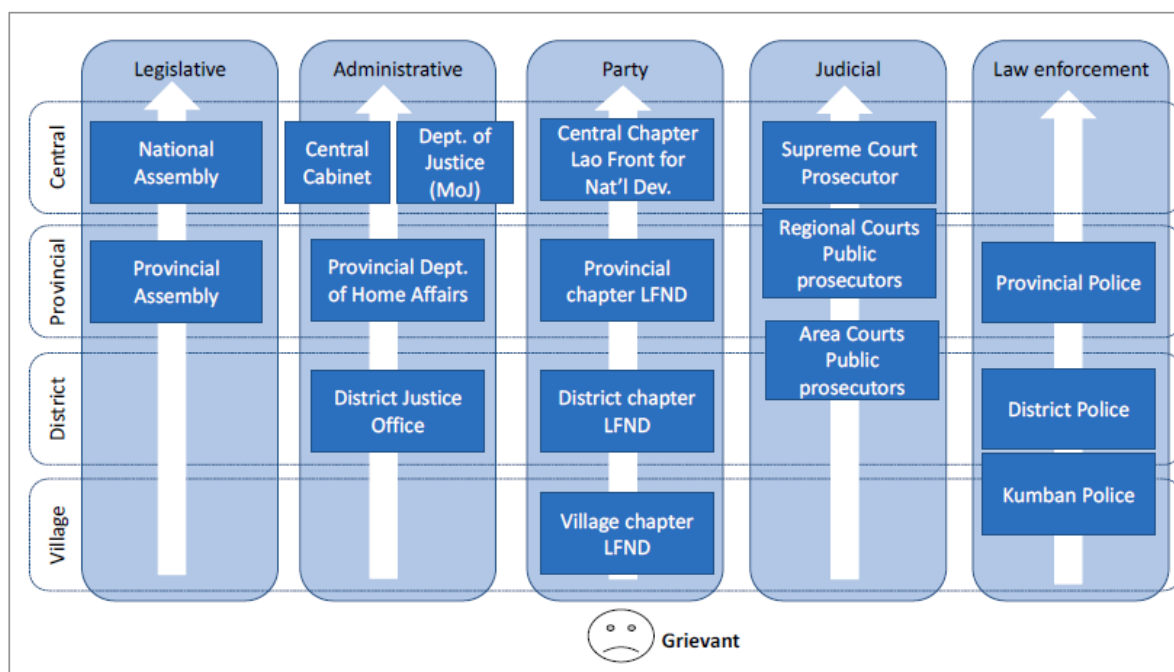
Type of Grievance Mechanism	Key Considerations
Traditional, customary complaint resolution processes	<ul style="list-style-type: none"> <li>▪ Traditional dispute resolution mechanisms vary by ethnic group and are used to settle disputes based on customary law and traditions.</li> <li>▪ E.g. Hmong are socially organized into clans and traditionally disputes are settled by the (male) clan elders. Other ethnic groups have different arrangements.</li> </ul>
Village mediation units	<ul style="list-style-type: none"> <li>▪ Village mediation units are comprised of village authorities, including members of the local chapter of the Lao Front for National Development, and also may include customary leaders. They often deal with issues of land and family disputes among the villagers, such as divorces. If the dispute involves outsiders, or the village leadership, then resolution must be sought at a higher level.</li> </ul>
Judicial system	<ul style="list-style-type: none"> <li>▪ Through national, provincial and regional courts together with law enforcement authorities</li> <li>▪ This mechanism often is utilized when land rights are involved</li> <li>▪ Six different Government law enforcement agencies are involved in enforcement of forestry-related laws and in bringing cases to the Public Prosecutor. The lead agency in enforcement of the Forestry</li> </ul>

<sup>19</sup> Description adapted from the R-Package (2018) and ER-PD (2018, p.199-202)

Type of Grievance Mechanism	Key Considerations
	law and the Wildlife and Aquatic Law is the Department of Forest Inspection (DoFI, under MAF).
Administrative system of Government	<ul style="list-style-type: none"> <li>▪ E.g. Going from the village to the relevant district office to the relevant provincial office, to the national ministry</li> <li>▪ E.g. Going to the district Justice Office, Department of Home Affairs, then the Justice Department at the Ministry of Justice and, ultimately, the Central Cabinet</li> </ul>
Party system	<ul style="list-style-type: none"> <li>▪ Complaints can be registered with the Lao Women's Union or Lao Front for National Construction, then they can be filed at the central party cabinet</li> <li>▪ The Lao Front has a legal mandate for awareness-raising, conflict resolution and promoting participation of all ethnic groups, and has representation at all levels of government from central to village-level.</li> </ul>
Legislative system	<ul style="list-style-type: none"> <li>▪ With appeals to the Provincial Assembly or National Assembly</li> </ul>

Source: Adapted from ER-PD 2018, p. 199-201

The following figure provides an overview of these mechanisms and key considerations for identifying which mechanism is the most suitable for the grievance (thematic topic, and level of Government). Accordingly, programme-related claims and complaints can be proposed, considered and resolved according to traditional customs, administratively, legally or legislatively according to the case in hand, and in accordance with the Law on Claim and Complaint Resolution. All stakeholders are able to file grievances and complaints through these official channels.

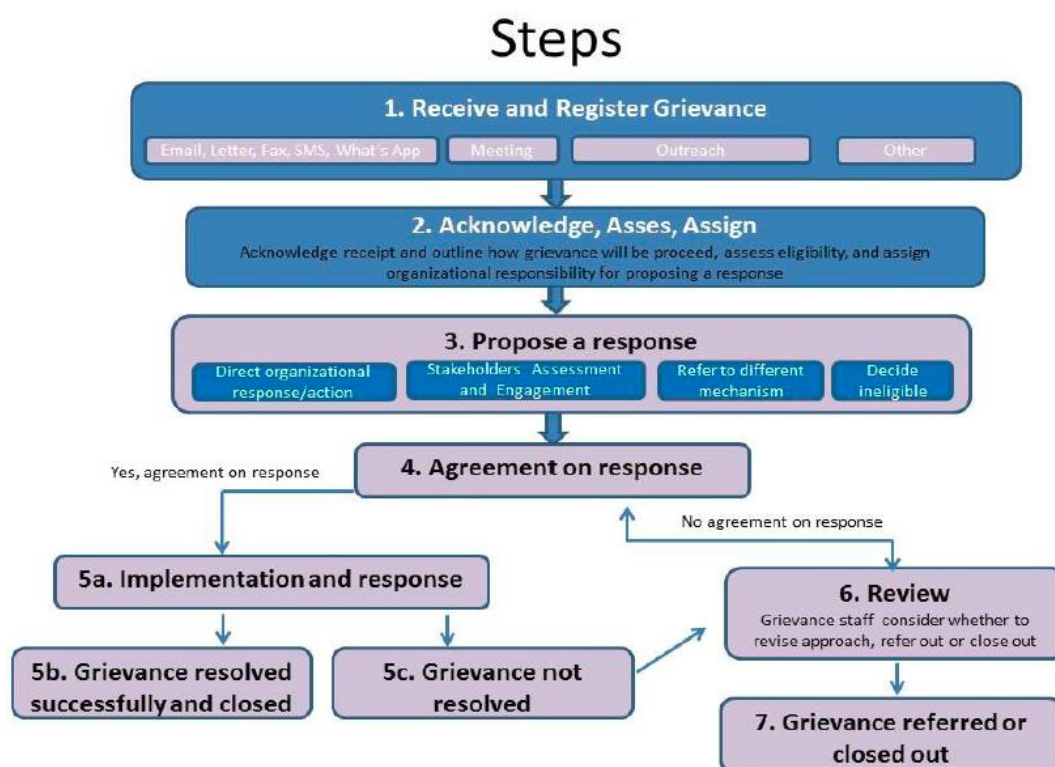


**Figure 3. Options for grievance redress under REDD+**

Source: ER-PD 2018, p. 201

The following figure highlights the core steps to file and resolve a grievance with the programme's grievance redress mechanism (note – the mechanism is further described in regard to its application for the programme-specific grievance redress mechanism described in the next sub-section). The resolution of REDD+ claims and complaints must be consistent with the policies and laws of the Lao PDR and the relevant international conventions. The process must ensure the protection and promotion of the rights and interests of those affected by REDD+ activities. Improvements of the livelihoods of REDD+ stakeholders will be promoted with independence, transparency, equality, fairness, and

neutrality. The various stages (of complaint resolution) must be recorded, including the participation and consultation of the relevant parties.



**Figure 4. Overview of grievance redress mechanism**

Source: ER-PD 2018, p. 202

### 8.3 GCF programme (Project 1 and 2) grievance redress mechanism

The resolution of claims and complaints arising from the GCF programme is based on existing grievance and redress systems developed for REDD+ in the country (described above) and has been developed under Project 1. It will continue to be applied under Project 2 implementation. The following description of the mechanism refers to the System Description of the Grievance Redress Mechanism.<sup>20</sup>

A programme-specific reporting mechanism to the NPMU, PPMU and/or DPMU, and the PPMU includes the Project Safeguards Team to ensure the monitoring and fulfilment of safeguards for programme implementation. Whenever a grievance is filed, a report on the grievance will be produced by the person receiving the grievance, utilizing a standard template. As a first step, the grievance is to be discussed within the project structure (i.e. with DPMU, PPMU, NPMU or PSC). If it is not possible to address the grievance within the project structure, the grievance will be forwarded to the grievance redress mechanism according to the National Feedback and Grievance Redress Mechanisms (NFGGRMs), starting from VMU and handed on through the district, the provincial levels, in very rare cases up to the respective People's Provincial Assembly (PPA) or the National Assembly (NA). All safeguard specialists and designated district officers will be trained on the grievance redress mechanism, as well as best practices to promote gender equality and social inclusion in a culturally appropriate manner.

<sup>20</sup> Implementation Governance, Forest Landscapes and Livelihoods (I-GFLL): Grievance Redress Mechanism. System Description. Version 1, June 2021.

The mechanism has been designed to address any complaints or grievances regarding the programme. It is designed to ensure that no individual or group are financially impacted by making a grievance or complaint. Any cost that may be associated with the preparation or issuance of a legitimate complaint or grievance (e.g. engaging a qualified person to assist the complainant) will be covered by the grievance mechanism (and has been integrated in the budget). Special efforts will be made to ensure the grievance redress mechanism is available for all people, and that women, ethnic groups or vulnerable persons and/or entities have equal access and bear no negative repercussions for filing any complaints or grievances.

The designed structure allows grievances to flow through an internal process from the district level until the national level, where more issues are expected to be addressed. Concerns should be addressed at the closest appropriate level (i.e. at district, provincial, etc.) Whenever a grievance is filed, a report on the grievance utilizing a standard template will be provided to the Project Safeguards Team will oversee the process, maintain a record of all grievances filed, report on grievances filed and ensure they are adequately addressed. Stakeholders should first use the GRM process as developed and implemented by the Programme. As final option, grievant may use the GRM process by the GCF itself (i.e. GCF Independent Redress Mechanism, <https://irm.greenclimate.fund/>).

#### **Info Box 2: CSOs role in supporting the programme's grievance redress mechanism**

CSOs will play an important role in project implementation, including through participation in capacity building events and trainings, awareness raising, and in supporting community outreach. They will further serve as key organizations to facilitate communication between local communities and the programme management units.

CSOs in the target provinces and districts will be trained on the programme's grievance redress mechanism, and provided with informational brochures with contact information. This will ensure that they are familiar of the mechanism, key phone numbers and can support local villages / villagers to understand the grievance redress mechanism, and to file complaints and grievances.

The main steps of the programme's grievance redress mechanism are aligned with the steps identified for the ER-PD grievance mechanism, and are described in the Table below.

**Table 8. Overview of the main steps within the programme-level grievance redress mechanism**

<b>Grievance Redress Mechanism Steps</b>	<b>Description</b>
1. Receive and register grievance	Stakeholders submit their grievances through the available grievance channels as described above. All grievances are registered by the receiving entity using a standard template (see chapter below). All grievances filed must be clearly documented and securely stored in the I-GFLL cloud database with limited access to the Safeguards Team.
2. Acknowledge, assess, and assign	The Safeguards Team must acknowledge receipt of the grievance to the grievant. As part of an internal assessment process the Safeguards Team must outline into the available template, how the grievance will proceed, assess the eligibility of the grievance, and assign organizational responsibilities to propose a response to the grievance.
3. Propose a response	The entity responsible for proposing a response (as assigned by the Safeguards Team in step 2), will then propose options to the complainant and any other related parties to address the grievance. This could include: i) direct organizational response/ action, ii) stakeholder assessment and engagement, iii) referral to a different mechanism (e.g. judicial grievance mechanism), or they could decide that the grievance is ineligible (see "Criteria for Eligible Grievances and Exclusions").
4. Agreement on response	Based on the responses proposed in step 3, the Safeguards Team and/or other entities involved to resolve the grievance will meet with the

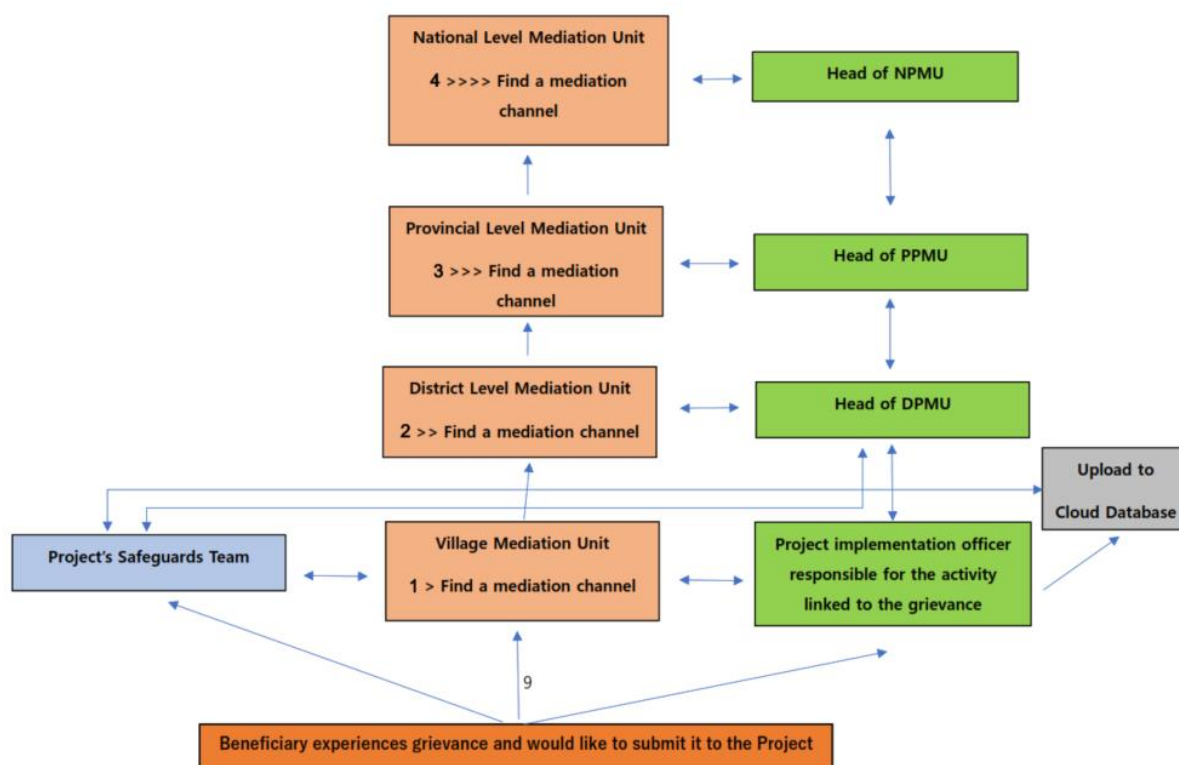


	complainant and other related parties and try to reach an agreement that is acceptable to all parties. A meeting with the grievant should be prepared within 10 days.
<b>If complainant agrees on response, refer to step 5, if not, refer to step 6</b>	
5a. Implementation of response	The Safeguards Team will assign a relevant officer to oversee the implementation of the response to the grievance, monitoring its progress and the effectiveness of the response. All grievances filed must be reported to the NPMU using a standardized template, including information on the status of all grievances.
5b. Grievance resolved and successfully closed	If the response is successful, the grievance will be resolved and closed. The grievance report to the NPMU will be finalized and submitted by the responsible project officer, noting that the grievance has been successfully resolved and has been closed.
5c. Grievance not resolved	If the response is not successful, the project officer responsible for overseeing and monitoring the response will review the response to be implemented (step 6).
<b>If complainant does not agree on response (step 4)</b>	
6. Review	If no response can be met, the responsible safeguard specialist/project officer will review the grievance with the safeguards representative at the NPMU. Together they will determine whether to revise the approach and propose other alternative responses, refer the grievance to another system (e.g. legislative, administrative, party, judicial, law enforcement, customary), or close out.
7. Grievance referred	Pending the result of the grievance review, grievances that cannot be re-solved within 1 month from the acknowledgement of the complaint will be either referred to a different system or closed out. All grievances, including grievances that cannot be resolved, will be documented using a standard template, and reported to the NPMU safeguard representative.

Source: *Implementation Governance, Forest Landscapes and Livelihoods (I-GFLL): Grievance Redress Mechanism. System Description. Version 1, June 2021.*

The GCF programme-level grievance mechanism is presented below. Grievances can be filed through three channels: The Village Mediation Unit (VMU) is the regular village-based structure to address grievances. VMUs are required to report any grievances related to the Programme to the Safeguards Team. Equally are implementors asked to forward grievances to the Safeguards Team through the Cloud Database (as part of the regular reporting). Thirdly, a hotline is established, which allows grievants to directly contact the Safeguards Team 24/7. As soon as grievances have reached the Safeguards Team, they are evaluated (on a weekly basis) for their eligibility.

Through the mechanism, grievances can be filed at the: (1) village, (2) district, (3) provincial, and (4) national level. In addition to the proposed programme-specific mechanism, grievances can be filed through other mechanisms presented in the previous sub-section, as identified within the National REDD+ Programme and ER-Programme. More detailed information on customary complaint/ grievance mechanisms in the context of the project is provided in the Ethnic Groups Development Plan (FP Annex 6d).



**Figure 5. Grievance Redress Mechanism Hierarchy**

Source: *Implementation Governance, Forest Landscapes and Livelihoods (I-GFLL): Grievance Redress Mechanism. System Description. Version 1, June 2021.*

### Informal and customary grievance review

Customary practices of different community, ethnic and religious groups to manage conflicts have been integrated into the formal grievance mechanism. In some instances, grievance cases have been addressed in an informal manner by local communities under the direction of community or traditional leaders. The head of the DPMU, PPMU or NPMU (depending on where the grievance is filled), will consider the opinions or recommendations of leaders from any informal redress mechanisms before making any decisions.

### Grievance resolution

Once a grievance has been addressed and the party that filed the grievance has accepted the solution, an agreement should be signed by all involved parties. Records of all grievances made and addressed should be preserved in order to ensure continued compliance and a transparent grievance review mechanism.

### Dissemination and awareness raising for the grievance redress mechanism

As the grievance mechanism is instated in order to provide a platform for concerns to be voiced by any party, it is important that the method in which grievances can be made is effectively distributed to all stakeholders and community members within the programme area. Information regarding the grievance redress mechanism will be distributed to all stakeholders and communities through:

- Programme multi-stakeholder events (FPIC consultations, workshops, etc.)
- Information sessions and village meetings, including the provision of information both orally and through informative materials
- Brochures regarding the programme's grievance redress mechanism (produced in Lao and local languages), distributed to diverse stakeholders including CSOs



- Included as part of other communication material that is designed and distributed during programme implementation.

**Reporting to the GCF**

The Project is committed to transparency and accountability concerning complaints, while also protecting the confidentiality of those involved. To this end, from 2021 its annual report includes a brief section documenting the introduction process of the GRM and will, as filed grievances come in, report on the number and nature of complaints received and how they were resolved. Identifying details of individuals will not be included.

## 9 SEP TASKS, TIMING, RESPONSIBILITIES AND COSTS

Sub-Activity	Task	Means of Verification	Timing																Responsibility	Costs (EUR)	Comments
			2023		2024				2025				2026				2027				
			Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2			
Monitoring and reporting																					
Cross-cutting	Monitoring and reporting on safeguards performance and stakeholder engagement	Project reports																	NPMU safeguards and M&E specialist		Included within Activity 1.2.3
Stakeholder engagement																					
Cross-cutting	Invitation of stakeholders to participate in National and Provincial Programme Steering Committees	Invitation letter																	MAF	Part of project activity	-
	Appointment of programme management units (NPMU, PPMU and DPMU)	Formal letters																	MAF		
	Appointment of officers responsible for safeguard-related issues within DPMU, PPMU and PSC	Formal letters																	NPMU and MAF		
Component 1: Enabling environment for REDD+ implementation																					
1.1.1.1	Dialogue events, trainings, awareness raising and workshops with concerned key experts from the government	Attendance sheets, photos, meeting summaries																	NPMU	Part of project activity	6 workshops (2 per year, 2024-26)
	Capacity building events with EPF and FPF																	12 total (3 per year)			
1.2.1.1.	Workshops for exchange and coordination between government agencies on procedures, systems, standards for law enforcement	Attendance sheets, photos, meeting																	NPMU	Part of project activity	15 total (for 17 districts within 3 provinces)

Sub-Activity	Task	Means of Verification	Timing																Responsibility	Costs (EUR)	Comments	
			2023		2024				2025				2026				2027					
			Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2				
		summaries																				
1.2.2.2	Participatory land use planning within villages	Village land use plans																		NPMU, PPMU, DPMU	Part of project activity	290 villages are supported in this activity within Project 2, 145 PLUP developed by Q3, 290 PLUP developed by Q1 2026; <sup>21</sup> Full cost of sub-activity.
	Campaigns on awareness-raising of laws and the regulatory framework pertaining to the forestry and agricultural sectors on establishing REDD+ awareness in local media and on forestry and land use awareness in schools.	Publications, project info published, local newspapers in all target districts																				
1.2.3.2	District level consultation and training events, FPIC, awareness raising events	Attendance sheets, photos, meeting summaries																		NPMU (especially project safeguard and M&E specialist), PPMU, and DPMU  GIZ and MAF	Part of project activity	FPIC to be implemented in all 290 target villages
	FPIC 1 (Project 2): Initial awareness raising campaigns, consultation in 190 villages	Attendance sheets, photos, meeting summaries, FPIC agreements																	190 meetings (1 meeting per village, 190 villages total). Conducted by GIZ/BMZ prior to project start (right after board approval, to avoid raising expectations)			

<sup>21</sup> Target: Land use plans developed and under implementation in 240 target villages in Luang Namtha, Bokeo and Oudomxay, and 50 villages in Houaphan, Sayabouri and Luang Prabang provinces.)

Sub-Activity	Task	Means of Verification	Timing																Responsibility	Costs (EUR)	Comments
			2023		2024				2025				2026				2027				
			Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2			
	FPIC 2 & 3 (Project 2): Village forest management agreement etc. consultation in 290 villages	Attendance sheets, photos, meeting summaries, Village Forest Management Agreements																	NPMU (especially project safeguard and M&E specialist), PPMU, and DPMU		290 villages & 2 meetings per village.
Component 2: Market solutions for agricultural drivers of deforestation: Implementation of sustainable and deforestation-free agricultural practices																					
2.1.1.3	Participatory development of investment plans under implementation in 290 villages	Documentation of investment plans, attendance sheets of meetings																	DAFO, supported by PPMU and NPMU	Part of project activity	-
	In-depth training on district-relevant commodities for all PSAP teams	PSAP team meeting documentation, attendance sheets																			
	Study tours for selected farmers to relevant downstream value chain actors for PSAP commodities produced in the villages.	Attendance sheets, documentation of																			

Sub-Activity	Task	Means of Verification	Timing																Responsibility	Costs (EUR)	Comments	
			2023		2024				2025				2026				2027					
			Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2				
		study tours																				
	Supporting exchange between neighbouring villages on options for value chain organization.	Documentation of village meetings, attendance sheets																				
	Supporting the creation of long-term relationships between villages and downstream actors with the aim of creating stable value chains.	Documentation of respective project activities																				
2.1.2.1	Participatory development of VFAG plans and signature of agreements with 290 villages to set up a VFAG	Documentation of village assembly meetings																		NPMU	Part of project activity	Integrated in FPIC process and PLUP development
	Establishment of VFAG Committees in each of the 290 villages	Documentation of VFAG establishment																				
2.1.2.2	Capacity building of new VFAG committees	Training documents, attendance sheets																		NPMU	Part of project activity	VFAG Committees in 290 villages receive capacity building and training
2.1.3.1	Capacity building for Water User Groups (WUGs)	Training documentation																		NPMU	Sub-activity implemented	Link to Activity 3.1 (Implementation of

Sub-Activity	Task	Means of Verification	Timing																Responsibility	Costs (EUR)	Comments
			2023		2024				2025				2026				2027				
			Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2			
	Provision of farmer group investment facilities	Meeting documentation																	d with ADB co-financing	village forest management	
2.1.3.3	Establishment of Nutrition Committees at district and village level	Documentation of committee meetings																			
2.1.4.1	10 training courses on development & implementation of alternative livelihood opportunities per province	Training documentation																	NPMU and PPMU of REDD+ Division and REDD+ Offices in the provinces	Part of project activity, integrated in FCPF-ERPA, oversight by World Bank	10 training courses in 3 provinces
	16 trainings on deforestation free, climate-smart agriculture & alternate livelihood opportunities in the agricultural sector per province																	16 training courses in 3 provinces			
2.2.1.1	Establishment of cooperation agreements with 60-90 agri-MSMEs from 6 provinces, provision of support and training of value chain development	Documentation on agreements																	NPMU	Part of project activity	
Component 3: Climate change mitigation and adaptation action through forestry																					
3.1.1.1	Training of Provincial and District VFM teams on planning and implementation of VFM in 6 Provinces	Documentation of trainings																	NPMU	Part of project activity	Trainings in Sayabouri, Houaphan and Luang Prabang will be shorter “refreshers”
	Raise awareness on climate change and resilience building within the context of VFM (informative materials)	Disseminated materials																			

Sub-Activity	Task	Means of Verification	Timing																Responsibility	Costs (EUR)	Comments		
			2023		2024				2025				2026				2027						
			Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2					
3.1.1.2	Participatory Forest Resources Assessment and basic forest inventory	Documentation of meetings and consultations, available five-year and annual plans																			NPMU	Part of project activity	-
	Participatory Development of 290 VFMP at village level (five-year village forest management plan)																			145 VMPF developed by Q4 2024, 290 VFP developed by Q4 2025			
	Preparation of annual forestry operation plan																						
	Village forest management agreement																			-			
3.1.2.1	Train stakeholders & communities to strengthen capacities to effectively implement VFMP, FLR, and SFM	Training documentation																			NPMU and PPMU of REDD+ Division and REDD+ Offices in the provinces	Part of project activity	Integrated in FCPF-ERPA, oversight by World Bank
3.2.1.1	Awareness-raising and establishment of co-management agreements with villages inside or adjacent to the NPA	Documentation of meetings, list of participants																			NPMU	Part of project activity	-
	Participatory development of voluntary co-management																			-			

Sub-Activity	Task	Means of Verification	Timing														Responsibility	Costs (EUR)	Comments		
			2023		2024				2025				2026							2027	
			Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4				Q1	Q2
	agreements (village conservation contracts)																				
3.2.1.2	Village engagement by PPMUs and DAFO staff within guardian villages	Documentation of patrolling groups formed																	NPMU	Part of project activity	-
3.2.1.3	Implement sustainable land use activities that are aligned with co-management agreements (ViFoCA) and NPA management plans	Co-Management Agreements signed																	NPMU	Part of project activity	-



## ANNEX 1

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### Mapping of interviewed CSOs

Wildlife Conservation Association (WCA)	<p>WCA used to participate in the planning process in Nam-Et-Phouleu Protected Area with the GIZ ClipPAD project (feasibility study).</p> <p>WCA works on wildlife and forest conservation which is linked to climate change adaptation for the community. In this field, there could be options for collaboration in the future.</p> <p>In this context, WCS supports government capacity building for NPA management, which includes law enforcement, plant and wildlife research, land use planning, and NPA conservation awareness-raising. Moreover, WCA focusses on conservation, including community participation in planning, decision making, management, and use of the forest; establishment of a village development fund for sustainable forest conservation. WCA also conducts biodiversity assessment (plants and wildlife) by using GIS for assessment and information services.</p>
Social Development Alliance (SODA)	<p>In the last 4 years, SODA implemented the project called “community forest management” in Khammouane and Sekong provinces. No direct cooperation with GIZ yet. In the community forest management project, SODA provided 65 households with funding for handicrafts, weaving, goat raising, pig raising, and chicken raising. After completing the first round (one year), the funds had to be returned to the funding committee which provided new loans to other interested households in the next round.</p> <p>SODA intends to conduct a survey on agricultural production credit, with a focus on cattle-raising, agricultural production processing and market development. This area can be a collaboration with the project.</p> <p>Involvement of CSOs would be a good option, for instance, some budget could be allocated to CSOs for the implementation of selected activities.</p>
Sustainable Agriculture and Environment Development Association (SEADA)	<p>Focuses mostly on agriculture promotion, farmer organization, and environmental conservation</p> <p>SEADA is interested in being involved in this project's implementation. For example, SEADA could implement some selected activities, such as NTFP conservation, environmental conservation, integrated agriculture, organic farming, farmer organization establishment and strengthening, food processing, or post-harvest management.</p>
Maeying Houm Jai Phattana	<p>The association is planning to implement activities that may be related to the proposed project: forest conservation motivation, existing NTFPs conservation and promotion (bloom flower and honey, as well as other existing NTFPs), new agricultural technology (seed drop rice cultivation), commercial crop cultivation (pineapple and other crops), and organic crop cultivation, natural tea conservation and promotion, watershed conservation, and water resource conservation, improve crop cultivation in plain areas, especially in the old banana concession land area, and crop processing: bean processing, honey processing.</p>

Lao Biodiversity Association (LBA)	<p>LBA focuses mostly on capacity building on Laws for the community, and biodiversity conservation. LBA intends to establish wildlife conservation linkages with agriculture production promotion, national protected area conservation linkages with natural tourism, NTFP conservation promotion, and food processing.</p> <p>LBA involved in this project's implementation would be a good option. For example, some budget for CSOs could be allocated to implement some activities, such as village forest management, wildlife conservation, NTFP conservation, awareness-raising on laws, or food processing.</p>
Gender Development Association (GDA)	<p>The main area of work are Gender development services (Training and assessment); Gender advocacy programmes (Gender mainstreaming in PCM); Fund mobilization and development partner cooperation</p> <p>GDA has planned to conduct the Climate Vulnerability and Capacity Assessment, including CVCA mapping, family CVCA mapping, gender action learning, and family economic analysis (fund accessing, market accessing, commercial item catalog). Gender mainstreaming in the agriculture sector should be good for collaboration with the project in the future.</p>
Green Community Development Association (GCDA)	<p>The main task is agriculture promotion. Organic farming is promoted in conjunction with forest and environmental conservation. The Association's focus is on agriculture's Participatory Guarantee System (PQS). There is one project site in Pek district, Xiengkhuang province.</p> <p>GCDA has been participating in WB meetings, GIZ, and PRAP (a JICA project in Luang Prabang) for the last 6 years. The Director was a team member for data collection in the Namxam protected area supported by SNV in the last 10 years. He was also a team member with the National Agriculture and Forestry Research Institute (NAFRI) for social economic data collection in Phonexay district, Luang Prabang province to support livelihood allocation and avoid deforestation.</p>
Community Development and Environment Association (CDEA)	<p>CDEA focuses mostly on community water supply related to upper watershed/upstream forest conservation to protect water resources for the community. The livelihood development fund is promoted to help with water supply system maintenance and management, as well as support livelihood for villagers.</p> <p>CDEA intends to work on community forest management in the water resources area to protect water resources.</p>
Association for Development of Women and Legal Education (ADWLE)	<p>The main area of work is awareness-raising and provides training on gender equality, laws, women's rights, anti-violence against women, and anti-human trafficking.</p> <p>Awareness raising on how to reduce the number of human trafficking victims, including women and children; vocational training support to trafficked people, particularly those returning from abroad; providing a small fund for starting a small business (including beauty salons, livestock, etc.).</p>