

VOLUME 1 – CHAPTER 4

PUBLIC CONSULTATION, PARTICIPATION AND DISCLOSURE

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4 PUBLIC CONSULTATION, PARTICIPATION AND DISCLOSURE

4.1 INTRODUCTION

Public consultation and participation is playing a key role in the continued planning and in the preliminary or pilot implementation of the social and resettlement components of the NT2 Project. This chapter describes the Public Consultation, Participation and Disclosure (PCPD) Process for resettlement planning and implementation component of the NT2 Project that has been undertaken to date, and those planned for the future. The objective of the PCPD is to develop and maintain avenues of communication between the Project and stakeholders in order to ensure that their views and concerns are incorporated into project design and implementation with the objectives of reducing or offsetting negative impacts and enhancing benefits from the Project. The feedback from consultations has been, and will continue to be an important component of the planning process leading to the formulation of mitigation measures and compensation plans for project affected communities.

The NT2 Project's public consultation, participation and disclosure process can be best considered as a **Three-Phase Process**, as follows:

1. **Public Consultation, Participation and Disclosure (PCPD) Phase 1: Public Consultations 1**
Starting in 1996, public consultations were initiated to allow stakeholders and Project Affected People (PAPs) to participate in project design, both in terms of technical design of mitigation measures, and the design of the resettlement and compensation process. Up to the end of 2003 there have been more than 250 public consultation and participation briefings and meetings, which have taken place at the local, regional, national and international levels (see Table 4-4, 4-12, 4-13 and 4-14). Dialogue has been initiated with all interested groups and stakeholders who are directly or indirectly involved in the NT2 Project and who have expressed a wish to participate in the Project's public consultation program.
2. **PCPD Phase 2: Public Consultations 2**
Following the development of the basic project design and planning, and the incorporation of feedback from Phase 1 comments into the design, an extensive second round of detailed information dissemination and consultations has been conducted. This second round (May-August 2004) has provided information to all PAPs and given them another opportunity to make proposals and thus contribute to the further refinement in the project strategy and design. This Phase 2 will also see the progressive translation, into the Lao language, of summaries and relevant sections of the social and resettlement safeguards documents.
3. **PCPD Phase 3: Disclosure**
During the second phase of the Public consultation, the July 2004 version of the SDP was fully disclosed on the NT2 projects website. During and after WB and ADB appraisal, the full Social Development Plan, including the EMDP, RAP and Frameworks, revised according to the consultations, will be fully and widely disclosed in both English and Lao language (a summary of the latter) according to both World Bank and ADB policies.

[Note: This division into three phases is most relevant for consultations with local stakeholders in the direct impact areas of the project, and the following sections on local-level consultations present these phases in detail. For the regional, national and international consultations one section will summarise consultations for the first two phases together.]

4.2 INTERNATIONAL GUIDELINES ON STAKEHOLDER PARTICIPATION

The World Bank's Safeguard Policies on Environmental Assessment (OP 4.01), Involuntary Resettlement (OP 4.12) and Indigenous Peoples (OD 4.20) as well as ADB Policies on Involuntary Resettlement and Indigenous Peoples all require that affected groups (especially villages), GoL agencies, local NGOs and all other stakeholders be consulted in a meaningful way during preparation of Environment impact Assessments and Resettlement Action Plans. Thus, a PCPD was developed for the NT2 Project to ensure that all stakeholders will have a chance to participate in the planning of the Project.

This comprehensive consultation process also intends to follow the recommendations made in the World Commission on Dams (WCD) Report, including the requirements for:

- Participation in consultation of indigenous and tribal people is a process of communication and negotiation, spanning the planning and Project cycles;
- Effective participation requiring an appropriate choice of community representatives;
- Consent of affected indigenous and tribal people should be sought prior to key points in the decision-making process;
- The manner of expressing consent will be guided by customary laws and customs, and by national laws;
- At the beginning of the process the affected people will state how they will express their consent to key decisions;
- The integrity of community processes should be guaranteed, they shall not be divided or coerced, and be free of manipulation; and
- Independent dispute resolution mechanism should be agreed with the other stakeholders at the beginning of any process.

4.3 IDENTIFYING STAKEHOLDERS

Following extensive scoping of issues and review of findings, which have been subjected to public and professional review, there is agreement that NT2 stakeholders comprise of five main groups:

- People directly affected by the Project;
- GoL officials at the district, provincial and national levels;
- The broader interested regional and national community;
- NGOs operating in the Lao PDR and particularly those in the Project area; and
- International NGOs, international organizations, and the local, regional and international media.

Those stakeholder groups that are of specific concern to the social and resettlement components of the NT2 Project can also be identified on a geographical basis, as follows:

Local

- All households and villages on the Nakai Plateau (about 1,250 households).
- Communities living along the Xe Bangfai (about 7,095 households);
- Communities downstream of the dam; and
- Communities with assets or land under the Project (construction) Lands.

Regional

- Community leaders.
- GoL Agencies at the district level.
- GoL Agencies at the Provincial level.
- Businesses and contractors.

National

- GOL Ministries.
- The People of the Lao PDR.
- National media.

International

- Other international power utilities, in particular EGAT.
- World Bank.
- NTPC, investors and Financial Institutions.
- International NGOs.
- International media.
- Other hydroelectric dam developers.

Table 4-1 presents a summary of these stakeholders, how they have been consulted and their concerns (up until 2003). These proposals and concerns of these various stakeholders have been incorporated, where

appropriate in the many and various plans that constitute the SDP. The concerns and proposals of stakeholders elicited by the 2004 phase 2 consultations are presented in detail in Section 4.8.

Table 4-1: Stakeholders in the Social and Resettlement Consultation

Stakeholders	Interests, and Experience and Concerns	Consultation Process to date
Nakai Plateau villagers to be relocated or otherwise affected: 5,518 persons in 1,130 families as of 1998.	<ul style="list-style-type: none"> Positive about resettlement and the proposed diversified lifestyle. Currently involved in pilot farm and now pilot village. 	Preliminary consultations in 1995, intensive in 1997-1999 in all villages. Pilot village consultations from 2001. RMU and Nakai DRWG based in Nakai. Village Resettlement Committees organized.
Villagers along the proposed Downstream Channel: about 198 families	<ul style="list-style-type: none"> Positive towards irrigation. Concerned over impact on flooding and livelihoods. 	Consultations about impacts held in 1997. Further, detailed, consultations about mitigation plans and compensation options to be carried out in 2004 by NTPC and RMU.
Villagers along the Transmission Line	<ul style="list-style-type: none"> Interest in fair and prompt compensation (cash) 	Consultations about impacts held in 1997.
Villagers with assets under Project Lands	<ul style="list-style-type: none"> Yet to be consulted in detail about project impacts 	Detailed design and impacts in the process of being determined. Consultations to commence in 2004.
Villagers along the Xe Bangfai (89 villages), and hinterland (66 villages)	<ul style="list-style-type: none"> Positive towards irrigation potential but concerns over exacerbated flooding and impacts on livelihoods. 	Consultations about impacts held in 1997. Further, detailed, consultations about mitigation plans carried out in 2004 by NTPC and RMU.
Local Authorities	<ul style="list-style-type: none"> Representation in decision-making process and capacity building 	Ongoing consultations and meetings since 1997, assessment of capacity, and inclusion in key institutions such as the RMU and DRWG.
Provincial Organizations	<ul style="list-style-type: none"> Representation in decision-making process and capacity building 	Ongoing consultations and meetings since 1997, inclusion in Resettlement Committee.
National Government (Ministries and STEA)	<ul style="list-style-type: none"> National legal and policy framework, project viability, financing and representation in decision-making 	Ongoing consultations and meetings since 1995, inclusion in Resettlement Committee, STEA part of National Level Consultations.
Mass organizations (LWU, LNF)	<ul style="list-style-type: none"> Representation in decision-making process and capacity building 	Ongoing consultations and meetings since 1997, inclusion in key institutions such as the RMU, DRWGs and VRCs.
NGOs	<ul style="list-style-type: none"> International standards for social and environmental aspects and project viability 	Involved in some local and all national consultation meetings, reviewed documents and undertook site visits, including in 2003.
Panel of Experts (POE)	<ul style="list-style-type: none"> International standards for social and environmental aspects and project viability 	POE has carried on site visits and consultations since 1996 and has reviewed all relevant documents.
Donors and Financial Institutions	<ul style="list-style-type: none"> International standards for social and environmental aspects and project viability 	Involved in all national consultation meetings, reviewed documents and site visits from 1995.
Embassies	<ul style="list-style-type: none"> International standards for social and environmental aspects and project viability 	Involved in all national consultation meetings, reviewed documents and site visits from 1995.
Thai stakeholders (EGAT, private sector, Gov't)	<ul style="list-style-type: none"> International standards for social and environmental aspects and financing. 	Involved in negotiations of the PPA, all national consultation meetings, reviewed documents and site visits.

4.4 NT2 PROJECT'S CONSULTATIONS STRATEGY AND METHODOLOGY

The NT2 Project recognizes that PCPD strengthens the decision making process in both the EAMP and the RAP and adds value to the quality of the Project. To date, consultation with the people who may be affected by the Project has been critical in developing the RAP, and the on-going PCPD outlined in will

ensure it continues to play a major role in resettlement planning and then for the implementation of activities.

NTPC is committed to assisting affected households in making an informed choice about resettlement and compensation. The Provincial and District authorities, through the Resettlement Management Unit (RMU), are responsible for informing villagers well in advance about the implementation steps and giving notice, at the appropriate time, of the compensation options, and in general encouraging participation of local stakeholders in the decision-making process and implementation of the SDP.

4.4.1 Stages of Information exchange, stakeholder concerns, and participatory program design

Consultation at local, regional, national and international levels has been and will continue to progress through four main steps:

Step 1: Information collection and dissemination: This initial step aims to promote awareness. Information flows in two directions, both into and from the Project. Awareness is attained through collection of data relating to both human and physical characteristics that facilitate evaluation and planning for project implementation. Additionally, information is disseminated to stakeholders detailing project features, project impacts and implications for altered social and physical environments.

Step 2: Eliciting Stakeholder Concerns: Comments from stakeholders in response to information disseminated and received during Step 1 are sought and discussion of alternatives and suggestions for mitigation activities encouraged. In this way, issues that may have been previously overlooked or outstanding concerns of stakeholders are given a forum for review. This represents a needs-assessment, and provides a base from which decisions can be made.

Step 3: Active involvement in Project Design and Implementation: Based on the decisions made in Step 2, requirements for education, training, financial and institutional strengthening are identified and integrated into project design. The process will continue during implementation so that stakeholders may be fully involved throughout the process. This process is not linear, but provides for cyclical feedback, should deficiencies at any stage be evident.

Step 4: Disclosure: Once the draft plans and policies have been finalised, then the documents are compiled, and consistency between English and Lao versions is checked. The documents are then fully disclosed to the general public, via Public Information Centres, and over the Projects website.

Once the stakeholders are identified, it is subsequently the objective of the NT2 Project to understand the views of these groups. There has been a need to plan and develop appropriate interaction and information sharing techniques for these different stakeholders. The key priorities for the design of these consultation methodologies included:

- Ensuring stakeholders were able to understand the Project and the potential Project impacts;
- Ensuring stakeholders understood the composition of NTPC and their objectives;
- For NTPC, to gain a clear understanding of stakeholders' requirements as a result of the Project.

Transparency and openness during the dissemination of information has been a priority in both the development of public consultation plans and in the implementation of public consultation processes. Thus, throughout the public consultation process it has been important to take into account the following:

- The communication techniques should be culturally sensitive and appropriate;
- The media used should be appropriate, and should recognize the high rates of illiteracy among those likely to be affected;
- The need to ensure that participation in consultation activities is not dominated by local authorities; and
- The special attention that may be required to ensure the participation of women and vulnerable groups and the consideration of their needs in the design of mitigation measures.

4.4.2 Ethnicity Issues

The consultation strategy incorporates a number of key aspects related to ethnicity. These are explained in detail in 14 (Local Participation on the Nakai Plateau), Volume 3 Chapter 6 (Public Consultation,

Participation and Disclosure for the Downstream Areas) and in Volume 4 Section 4.4.2. The process ensures that all ethnic groups, including vulnerable minorities to participate in the consultation process and to influence in an active manner the project design. This includes:

- Detailed anthropological studies as part of consultations (mostly in 1997-98) in order to identify any aspects related to livelihood, language, cosmology, social organisation, gender, material culture and leadership in order to focus discussions on relevant topics and to take into consideration ethnic identity and possible project impacts;
- Separate discussions for different ethnic groups to ensure the smaller groups are able to freely express their opinions and to encourage involvement;
- Discussions with traditional and local religious leaders to make sure that local beliefs are respected and taken into consideration in project design and mitigation; and
- Draft mitigation measures that can be modified depending on local needs of the different ethnic groups within the different project areas.

4.4.3 Language Issues

Language is an important consultation issue as it determines to a large extent whether the message is understood and information assimilated by the targeted population. As explained in the Ethnic Minority Development Plan (EMDP), while there are a number of ethnic groups on the Nakai Plateau and in the Downstream Xe Bangfai Area, studies on language usage has established clearly that the vast majority speak Lao, the national language, and that the different ethnic languages are for the most part confined to domestic use. Only a very small percentage of the affected population does not have a good working knowledge of Lao in the Project Area. In addition, none of the ethnic languages have any written form. Thus, it is both (a) not necessary, and (b) impossible to design written materials in each ethnic language for the purposes of consultation. For Tai and Lao dialects (spoken by Tai Bo, Phou Thay, Tai Moey and Tai Men groups), this will also not be necessary since these are dialects of Lao or languages related to Lao.

However, in order to ensure that consultations are effective, translation (or rather explanation) of technical words into ethnic languages - Brou and Vietic languages - is always an option, and during consultations and meetings in villages, such translations are sometimes provided by local village leaders or ethnic staff of District Working Groups whenever necessary. Comprehension enquiries, and the quality of discussions will determine whether this is necessary in any particular village. It is the responsibility of both the Resettlement Office (RO) of NTPC and the RMU conducting the consultations at the village level to determine whether translations are required. Thus, before discussions, comprehension checks are made, especially for women and the elderly who might have less exposure to the national language and technical (modern) words. A more detailed account of language in relation to consultations is presented in the Consultation chapters of the EMDPs.

4.4.4 Gender Issues

Participation of women in consultations sometimes requires special attention because most women are either less educated than men or have less exposure to the outside world and politics than men. In the consultations that have been conducted since 1997, efforts were been made to include women and to encourage their participation by having separate women's groups. In the Phase 2 consultations in 2004, the use of gender disaggregated discussions groups and ensuring women are included in the village facilitator team ensured that women were fully involved in this phase of consultation process.

Incorporation of gender issues is also facilitated by the central role of the Lao Woman Union (LWU) at the village and District level consultations. The LWU was formed originally in revolutionary times in the 1960s and 70s to enhance women's role in the development process, and now performs a grass roots, village-by-village, communications and gender awareness role. The LWU will be central to the resolution of the resettlement and downstream community impact issues. This strategy will continue throughout the consultations and implementation of the resettlement plan.

4.4.5 Consultation Methods and tools

Methodologies and techniques developed for public consultation have been designed to suit the needs of each target audience. These techniques also require careful consideration in order to meet the requirements of the diverse and numerous participants involved. The techniques adopted include:

- **Visual representations:** The consultation teams developed and presented to villages, and the community in general, a range of posters containing pictures, diagrams and models.
- **General village meetings:** Posters are presented to villager meetings and explained by facilitators, in the Lao language, with ethnic language clarification, when required (1997, 1998 and 2004).
- **Small group meetings:** As required, small group discussions were also undertaken, generally on specific subjects, or as part of information gathering and census activities (1997 census on the plateau and 2001 socio-economic survey on the Xe Bangfai).
- **PRA techniques:** PRA techniques were used especially in villages along the Xe Bangfai in order to investigate and clarify the possible affect of the NT2 Project on the Xe Bangfai and thus village and agricultural land.
- **Socio-economic surveys:** The main socio-economic survey of plateau PAP was undertaken in 1998, in parallel to the population and assets census. Another survey of plateau villagers will be conducted just after Financial Close. The 2001 Xe Bangfai socio-economic survey sampled families from both Xe Bangfai and Nam Katang riparian villages, and also villages along the proposed alignment of the downstream channel.
- **Seminars and workshops:** Local and regional seminars and workshops and forums were held on specific resettlement issues.
- **NT 2 Project Information Centres:** The NT2 Project Information Centres were established in Vientiane, Nakai and Thakhek, these have been able to provide written material and information on the Project, deal with inquiries and requests for additional information and conduct periodic meetings with village and district representatives. This system provided access to information for people with questions. With the actual implementation of the Project, refreshed and updated Information Centre will be organised at Vientiane, Thakhek, Mahaxai and Nakai.
- **Mass media:** Information to the general public is generally disseminated through local and regional newspapers, and local and national radio and television interviews. In 2003 a project website was established (www.namtheun2.com) and all safeguards documents and other information is available to the worldwide audience.
- **Site visits:** Many field trips have been organised for stakeholders including potential project sponsors, international development and financial institutions, members of the international diplomatic corps, and local and national NGOs. Two site visits for Ambassadors and international organisations representatives in Vientiane were organized in late 2002 by the GOL and led by H.E. Mr. Soulivong Dalavong, former Minister of Industry & Handicraft. Visits for international and Lao local media was then conducted with 15 journalists and photographers, of which major international press agencies and a number of Thai press, as well as Radio Free Asia. It created a valuable basis for the media to produce a long series of media report on the Project all along 2003. Another series of three site visits for NGOs was conducted between February and March 2003, so that each group could measure in situ the actual environmental and social situation and challenges throughout the various Project areas. A total of 82 NGOs have been invited by the GOL to visit the Project site, though only 20 replied to the invitation and 15 actually attended the visits. Each visit was conducted during 3 days so that sufficient time was allowed for discussions between NGOs and the local populations. For each visits, NT2 Project experts were available to answer openly to any question, while noting the concerns and advice of each NGOs. In addition, constructive debriefings at the GOL offices in Vientiane were organized on the fourth day of each visit to allow interaction between NGO and senior government officials in a different context.

Table 4-2 below outlines those tools that have been used to date for information dissemination and consultation with the various stakeholders in the Project.

Table 4-2: Consultative Mechanisms Used with Key Stakeholders, or in Key Areas, in Relation to Social and Resettlement Issues.

Stakeholders	Key Information	Timing	Mechanisms and Approaches
Nakai Plateau villagers to be relocated: about 5518 in 1998.	Relocation Plans, site selection, village layout, livelihood scenarios, compensation, training	Formal consultations in 1997-2000. Regular consultations from 2001 as required.	RRA and PRA techniques Information dissemination, meetings and discussions (village, group and individual levels) to create feedback loop – posters, booklets, information center, demonstration farms and visits to sites.
Villagers with assets under other Project construction Lands	Relocation plans, compensation and site selection if required	Regular consultations from 2003	Information dissemination, meetings and discussions (village, group and individual levels) to create feedback loop – posters, booklets, information center.
Villagers with assets under the proposed Downstream Channel	Relocation Plans, site selection, village layout, livelihood scenarios, compensation, training	Formal consultations in 1997 and 2003 and 2005 Ad-hoc consultations from 2007 as required	RRP and PRA techniques. Information dissemination, meetings and discussions (village, group and individual levels) to create feedback loop – posters, booklets, information center and visits to sites.
Villagers along the Xe Bangfai.	Mitigation framework, project impacts along the Xe Bangfai, compensation, training and for directly affected families, site relocation and support services	Formal consultations in 1997 and 2003 and 2005 Ad-hoc consultations from 2004, as required for PAPs in direct impact zones	RRP and PRA techniques. Information dissemination, meetings and discussions (village, group and individual levels) to create feedback loop – posters, booklets, information center and visits to sites.
Villagers with assets under the proposed Transmission Line Corridor	Mitigation for project impacts, compensation and support services	Formal consultations in 1997 and 2005 Ad-Hoc consultations from 2005 as required for PAPs in direct impact zones	RRP and PRA techniques. Information dissemination, meetings and discussions (village, group and individual levels) to create feedback loop – posters, booklets, information center and visits to sites.
Local GoL Organizations	Project features, impacts and mitigation, resettlement, compensation and implementation schedule and budget as well as WB Safeguard Policies	Meetings, discussions and seminars from 1995 onwards Local, Regional and National level consultations from 1996	Training and capacity building seminars and workshops from 1997 in consultation techniques and participation as members of PCPD Teams. Assistance in setting up local consultation bodies and monitoring procedures.
Provincial Organizations	Project features, impacts and mitigation, resettlement, compensation and implementation schedule and budget as well as WB Safeguard Policies	Meetings, discussions and seminars from 1995 onwards Local, Regional and National level consultations from 1996	Training and capacity building seminars and workshops from 1997 in consultation techniques Assistance in setting up local consultation bodies and monitoring procedures as part of the Resettlement Committee Translation of key project documents in Lao for distribution
Mass Organizations (LWU, LNF)	Project features, impacts and mitigation, resettlement, compensation and implementation schedule and budget as well as WB	Meetings, discussions and seminars from 1995 onwards, Local, Regional and National	Training and capacity building seminars and workshops from 1997 in consultation techniques and participation as members of PCPD Teams Assistance in setting up local consultation bodies and monitoring

Stakeholders	Key Information	Timing	Mechanisms and Approaches
	Safeguard Policies	level consultations from 1996	procedures as part of RMU and other bodies Translation of key project documents in Lao for distribution
GoL (Ministries and STEA)	Project features, impacts and mitigation, resettlement and, compensation, implementation schedule and budget. WB Safeguard Policies	Meetings, discussions and seminars from 1995 onwards, Regional and National level consultations from 1996	Training and capacity building seminars and workshops from 1997 in consultation techniques and participation as members of PCPD Teams Assistance in setting up local consultation bodies and monitoring procedures Translation of key project documents in Lao for distribution
Local NGOs	Project features, impacts and mitigation, resettlement, compensation and implementation schedule and budget as well as WB Safeguard Policies	Local, Regional and National level consultations and briefings since 1996	Participation in Local, Regional and National level workshops and meetings and site visits Program linkages between RMU and local NGO activities Translation of key project documents in Lao for distribution
International NGOs	Project features, impacts and mitigation, resettlement, compensation and implementation schedule and budget as well as WB Safeguard Policies	National level consultations and briefings since 1997	Participation in National level workshops and meetings and site visits Translation of key project documents in English for distribution and websites
Thai Stakeholders	Project features, impacts and mitigation, resettlement, compensation and implementation schedule and budget as well as WB Safeguard Policies	National level consultations and briefings since 1997	Participation in Local, Regional and National level workshops and meetings and site visits Translation of key project documents in English for distribution and websites

4.5 PHASE 1 OF LOCAL COMMUNITY CONSULTATIONS (1997 TO 2003)

The first phase of the NT2 Projects PCPD began in 1997. PCPD teams were established and trained in PRA techniques to facilitate a flow of information from local villagers were comprised of local Lao people, drawn from a range of backgrounds and experience in participation, social survey and education. Each team's membership represented a diversity of socio-economic, cultural, gender, and generational perspectives. They worked solely within the villages and report directly to the RMU, which is responsible for all resettlement planning and implementation.

The first stages of PCPD were coordinated by a NTPC consultant, who was responsible for training, planning and reporting on consultation activities on the Plateau. The RMU has the overall responsibility for carrying out PCPD activities at the local level, and members have been participating since 1997. The RMU ensures that there is continuity in the consultation process through adequate representation of all interest groups. International experts continue to advise the RMU on local community participation techniques and reporting, as required during the detailed planning and implementation of the Project.

Table 4-3 presents an overview of key PCPD activities carried in Phase 1 (1996-2003).

Table 4-3: Generalized Schedule for PCPD Phase 1

Stakeholder Activity	1996	1997	1998	1999	2000	2001	2002	2003
Institutional Arrangements								
Recruitment of facilitators								
Establish RMU								
Establish DRWGs								
Establish VRCs								
National Institutions (RC)								
Training Workshops								
Information Dissemination								
Public Awareness Strategy								
Information Centres								
Newspapers								
Videos								
Radio Programmes								
Website								
Embassies								
Nakai Plateau								
Consultation materials preparation								
Facilitator training (manuals)								
Information dissemination								
Planning Consultations								
Integration of feedback								
Ongoing PCPP								
Downstream Areas								
Consultation materials preparation								
Facilitator training (manuals)								
Information dissemination								
Planning Consultations								
Integration of feedback								

4.5.1 Nakai Plateau Consultations – Phase 1

First Round of (phase 1) Consultations:

The first phase of the PCPD involved the Lao Women's Union (LWU) preparing inventories in 1995 and surveys by CARE International in 1996 using Rapid Rural Appraisal techniques. These represented a significant effort in information dissemination and collection, with studies focused primarily on the villages in the proposed inundation area and limited coverage of the NBCA.

Second Round of (phase 1) Consultations:

The second phase of eliciting stakeholders concerns was conducted in 1997 by Social Scientist, Dr. Stephen Sparkes, who led a PCPD team including Mr. Khampheng Ketavong, Mr. Khamphay Khamthavong and Mr. Phensavanh Vongchandy from the Ministry of Culture and Information, and Mme. KeoOula Suriyadeth and Mme. Bouaka Keomani of the LWU. Methods used were participant observation, sample interviews and Participatory Rural Appraisal (PRA) techniques (land use maps and “dream maps” for relocation). Updating existing quantitative data on the villages was also carried out. All the villages on the Plateau were visited from January to March 1997 and presentations and discussions were held at all villages with the exception of the army village of Ban Nong Boua Kham (Ban Bo Cho) and the new trading village of Ban Nam Nian. Staying in villages from 2-4 days gave the PCPD team members the chance to familiarize themselves with village life. The goals of the PCPD activities on the Nakai Plateau were as follows:

- Ensuring that all directly affected people living in the reservoir were aware of and understood the features and impacts of the Project and the implications of relocation
- Collecting information in regard to existing village development systems and decision making processes (defining their structure and efficiency)
- Documenting existing livelihood patterns, land usage and aspects of society (socio-cultural and economic) likely to be affected by relocation
- Conducting meetings with villagers to facilitate discussions of their concerns and aspirations and to document these to channel to project decision makers, including villagers’ choice of locations, priorities and preferences regarding village layouts and house designs

The results of this PCPD work have been published by NTPC under the title of Observations Relating to the Resettlement of People on the Nakai Plateau (May 1997).

Third Round of (phase 1) Consultations:

A third round of PCPD work on the Nakai Plateau was carried out in April and May 1998 by Mr. Hoy Phoumvisouk (Head of RMU), Mme. Keo Oula of the Khammouane LWU, Mme Bouaka Gaemani of the Nakai LWU and Mr. Khampheng of the Ministry of Culture and Information, again led by Dr. Stephen Sparkes. After a two-day training course, which concentrated on lessons learnt from the previous PCPD in the Project area and on planning, the team visited all villages on the Plateau. Ban Ka Oy, which had not been visited during the first PCPD on the Plateau, was included. During this visit, discussions were held on many issues raised previously and the proposed livelihood model was also presented and feedback obtained.

Extensive use was made of visual aids, including posters, diagrams, pictures and a video explaining the construction of the NT2 dam, resettlement and livelihood options. See Figures 4-2 to 4-5 for examples of the participatory process and visual aids used.

The main goals of this round of PCPD on the Plateau were the following:

- Ensuring that affected people were fully aware of and understood the features and impacts of the Project and the implications of relocation by means of the video and discussions concerning livelihood model, house design and the village move
- Updating statistical information about population and village institutions as well as noting any changes in the socio-economic situation in the villages
- Conducting meetings with villagers to facilitate discussions of their concerns and aspirations in relation to the proposed livelihood model
- Identifying existing community development systems which could be utilized and improved during implementation
- Exploring potential mechanisms for establishing Village Resettlement Committees

The results of this PCPD are summarized in an NTPC report (PCPD on the Nakai Plateau, July 1998) and form the basis for subsequent revisions of the SDP. It also identified some items relating to planning PCPD activities for the next two years. Additional information was made available at Project Information Centers that were established in Ban Oudomsouk and Thakhek.

Demonstration Farms and Pilot Village Consultations:

Since 1998 the RMU has been responsible for continuing PCPD and has conducted numerous site visits and meetings. The planning of the Pilot Village relocation has included many rounds of PCPD with villagers in Ban Sailom, Ban Pamanton and Ban Nong Boua concerning site clearing, village layout and design and participation (labor).

In addition to the above mentioned PCPD activities, there have been meetings and consultation sessions with village leaders and villager participation on the Theun Duane Demonstration Farm and the Ban Nakai Neua Demonstration Farm and Nursery. These sites were used in training resettlers and have been jointly operated by NTPC through a local community based organization, EcoLao. At Theun Duane three volunteer families from Ban SopOn moved into new houses in May 1997 and have been trained in new agricultural and forestry techniques compatible with the livelihood model developed under the RAP. At the Ban Nakai Neua Demonstration Farm and Nursery, villagers in the nearby town participate in a range of activities relating to changes and improvements on present-day livelihood systems. School children at the village have been encouraged by local teachers to participate by growing vegetables in their own plots. Monitoring the progress and adaptability of villagers in relation to aspects of the new livelihood model will be vital to the success of the Project.

4.5.2 Downstream Areas Consultations – Phase 1

In April 1997 a PRA trainer conducted a two-week training workshop on PRA techniques in Thakhek for the PCPD teams. The team leaders for the new teams were members of the PCPD team that had worked on the Nakai Plateau. Hence their skills and experience could be shared with those being trained. Five teams, consisting of four people, carried out work in all areas to be impacted by the Downstream Channel and increased flooding along the Nam Phit and Xe Bangfai. This includes zones 8, 9, 10, 11 and 12 and consists of more than one hundred communities. The goals of these PCPD visits consisted of:

- Ensuring that affected people were aware of and understood the features and impacts of the Project and their implications as where defined at that time;
- Documenting existing livelihood patterns, land usage and aspects of society (socio-cultural and economic) likely to be affected by the Project;
- Collecting information in regard to existing village development systems and decision making processes (defining their structure and efficiency); and
- Asking villagers how negative impacts might be mitigated or compensated.

For the most part, visits to villagers consisted of (a) disseminating information about the Project using visual aids and presentations, (b) land use mapping and discussions about livelihood and (c) collection of statistics about each village. Special attention was paid to flooding experiences, water use, fishing and agriculture techniques. The results of this work were compiled by each team and reviewed by an independent consultant, Barbara Franklin, for the World Bank (A Review of Local Public Consultations for NT2, Vientiane, Sept. 1997). The material, questionnaires and results have been compiled in four volumes, "Village Consultation & Participation on Downstream Channel Issues" (April 1997).

4.5.3 500 kV Transmission Line Corridor Consultations – Phase 1

PCPD work was carried out from 10 to 13 February 1997 in 5 villages in Xe Bangfai District and in 8 villages in Savannakhet Province (Xaybulee and Khanthabouly Districts). This work consisted of meeting district representatives and holding consultation sessions with villagers.

The goals of these PCPD visits were:

- Ensuring that affected people were aware of and understood the features and impacts of the Project and their implications; and
- Collecting statistics on each village and identifying possible transmission line impacts.

4.5.4 Consultations with Bolikhamxai Villages – Phase 1

The Tai households of Ban Sop Hia and Ban Nam Nian will be resettled in Khamkeut District of Bolikhamxai because almost all of these Tai households are recent in-migrants from this area. Discussions have been ongoing since 1998 regarding this matter and a decision was jointly taken by the villagers and GoL to resettle these 47 Tai households to a resettlement site in Khamkeut District. As with the

inhabitants of the Nakai Plateau, considerations taken in regard to relocating these villagers include location within familiar territory and neighbouring villages with similar Tai culture and language. The 32 Vietic families in Ban Sop Hia have decided to stay near the reservoir, and thus will relocate in Nakai District, and participate in those livelihood development programs that they consider most appropriate to them.

Table 4-4: Summary of Phase 1 PCPD Events at the Local Level

Date	Event
1990	Socio-economic and household surveys of the Nakai Plateau undertaken for SMEC EIA
1990-1991	Sample health surveys and studies of the Nakai Plateau for the SMEC EIA
1994-1995	Sample village health surveys of the Nakai Plateau for the TEAM EIA
1994/95 Dry Season	Health survey of sample villages on Nakai Plateau and Gnommalat Plain by Institute of Malariology
June 1995	Census and surveys of household assets of plateau villagers undertaken by LWU, plus photos of every house and owner
1995/96 Dry season	Parasitology and Entomology, Vientiane, Lao PDR and the Faculty of Medicine, Chiang Mai University, Chiang Mai, Thailand
January – March 1996	Cultural and ethnographic survey and socio-economic survey, undertaken by CARE
April – May 1996	Project awareness and villagers attitude survey for selected villages on the Nakai Plateau
May 25, 1996	Meeting for information dissemination and voicing of concerns. District, Provincial and NTPC officials. NTPC Nakai Guest House
June 4, 1996	Information briefings on Nakai Plateau by District, Provincial and NTPC officials at the following villages: Ban Nakai Neua, Ban Nakai Tai, Ban Sop On, Ban Sop Phene, Ban Done, Ban Khone Khen, Ban Thalang and Ban Sailom
November 1996	Involvement of local villagers in Demonstration Farm lots and Agricultural Developments
December 1996-May 1997	Appraisal of the livelihood systems and decision-making structures within villages. Recording of villager preferences and concerns with regard to resettlement for all Nakai Plateau villages. Conducted by Social Scientist, Dr. Stephen Sparkes and local team
January 31, 1 February 1997	Inception meeting for Resettlement Management Unit (RMU) and four District Resettlement Working Groups.
January – February 1997	Survey of resettlement preferences of affected villages in Khamkeut District
March 1997	Survey of social impact of Downstream Channel by Hydropower Engineering Consultants.
March 1997	Survey of villager attitudes to the Project and related concerns of sample rice farming villages in the Gnommalat District. Conducted by Social Scientist, Dr. Stephen Sparkes, and local team
Jan-April 1997	Health Reconnaissance Survey by John Storey, Public Health Specialist
April 11, 1997	Meeting on resettlement/livelihood issues, Ban JatSan, Nakai, t (BPKP Resettlement village)
April 24-May 5, 1997	Training course in participation and consultation techniques for new PCPD teams in Thakhek by PRA trainer, Paul Chatterton
May 1997	Consultations of affected villages in the downstream area (Gnommalat, Mahaxai and the upper and lower Xe Bangfai) by 5 PCPD teams under the direction of Mary Diab
June 5, 1997	District Workshop on scoping and methodology for the RAP and EAMP. Ban Oudomsouk
April 20-21, 1998	Workshop on PRA experiences in 1997 and planning of 1998 PCPD for the Nakai Plateau
April 22-May 18, 1998	PCPD team visits to Plateau for feedback on the livelihood model, house designs and village move preparation. Conducted by Dr. Stephen Sparkes
October, 1998	Notification Registration and Socio-economic Survey of all villages on the Nakai Plateau;
October 27, 2000	Consultations as part of Evaluation of Demonstration and Farms (Theun Duane and Ban Nakai Neua) by District, RMU, DRWG, VRC, Village organizations and NTPC
Throughout 2001	Study tours and consultation carried out by LWU in support of District authorities
February 23, 2001	Consultation Meeting on Community Forestry Association, Nakai
April 27, 2001 (ongoing)	Public Consultation about Pilot Village Layout (at Nong Boua, Sailom and Pamanton villages)
September 26, 2001	Consultation Meeting on Nakai Plateau Community Forest, Thakhek

Figure 4-1: Sites (villages) of Local & Regional Public Consultation, PCPD Phase 1 (1997)

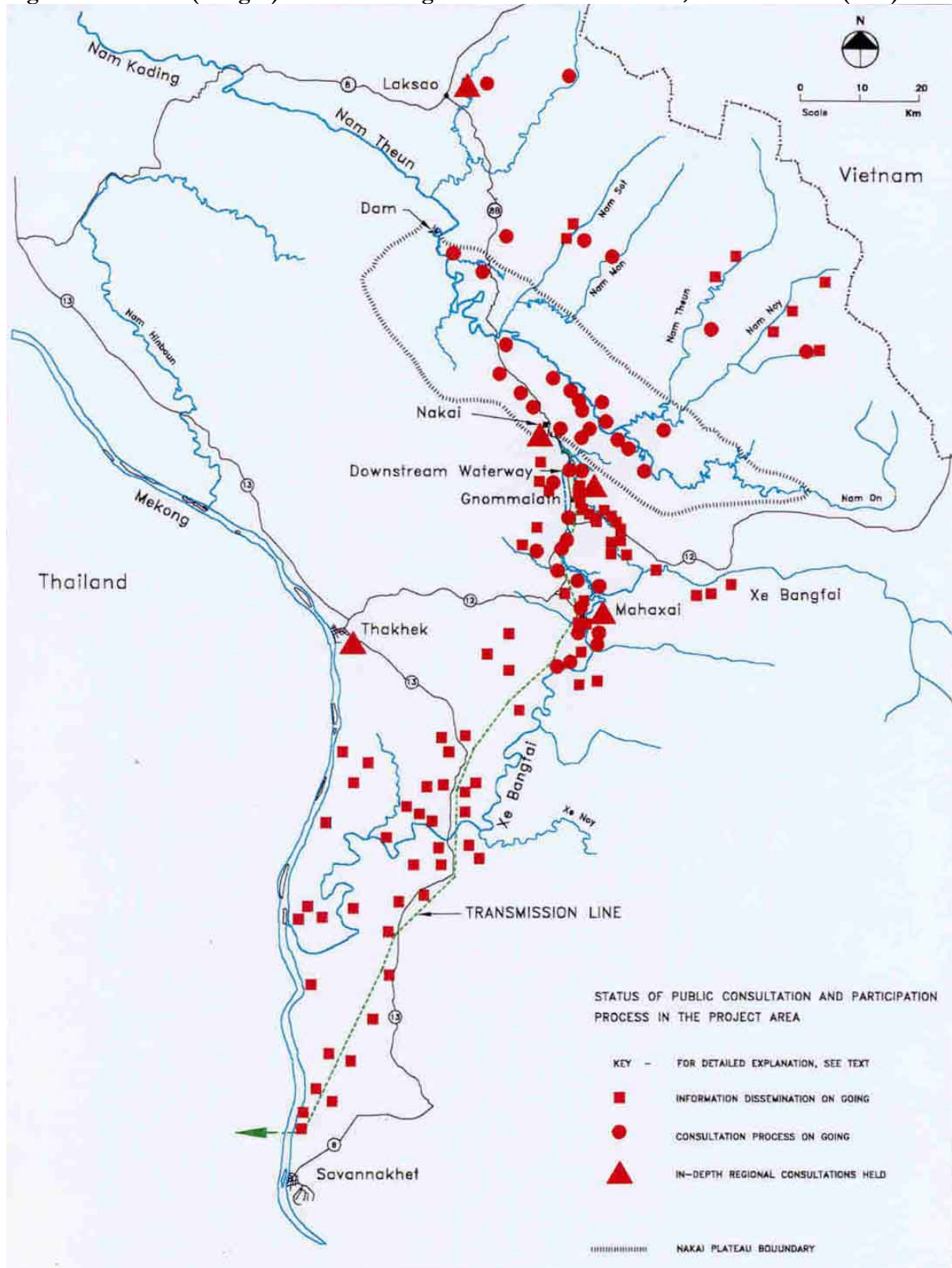


Figure 4-2: Local Participation on the Nakai Plateau, April-May 1998



Figure 4-3: Use of Visual Aids during Phase 1 Consultations, 1997



Figure 4-4: Sketch Illustrating the Village Livelihood Options (1997)



Figure 4-5: Sketch Illustrating the Village Move, PCPD Phase 1 (1997)



4.6 INTEGRATING PHASE 1 CONSULTATIONS INTO THE SDP

There has been a direct correlation between the consultation and participation process and the decisions made during Project planning. Feedback from stakeholders has been incorporated or has influenced Project planning and designs throughout the design and planning process.

For example, Table 4-6 outlines the role of PCPD in various activities related to the development and testing of the Resettlement Action Plan. Table 4-6 presents a matrix of the preferences expressed by each village in relation to the facilities in the new resettlement sites. Table 4-4 further outlines some of the main points that have been raised by local stakeholders during some of these PCPD events, and illustrates how ideas and concerns at the local level have been integrated into project planning.

Table 4-5: PCPD Support to Various RAP (now SDP) Related Activities (1998-2003).

RAP Activities	Implementation by	PCPD Support	Starting Date
Population census and assets inventory	RMU and DRWGs	Information collection and Registration	10/98
Forest Management Development Program	RMU and RO	Consultations and feedback	1/01
Pre-location health and education programmes	RMU with TA from NGOs or GoL	Consultations	1/01
Community Forest Association	RMU and Local Authorities	Consultations	2/01
Pilot Village planning and layout	DRWG, RMU and RO	Information dissemination, consultations and feedback	6/01
Village workshops on regulations, forestry association, livelihood and organisations	RMU, VRC and selected villagers from Plateau Villages	Information dissemination, consultations, feedback and detailed planning	Ongoing in 2002
Theun Douane farm evaluation	RMU, DRWG and technical experts	Evaluation and consultations	2002
Livelihood model options	RMU (with TA from RO)	Consultation and feedback	Ongoing from 2002
Location of new village sites and village layout design	RMU, DRWG, RO	Consultations and feedback	2003
Pilot Village relocation	RMU, DRWG	Consultations with villagers	2003
Youth Organisation Workshop on HIV	RMU, Youth Organization members from villages and District and Health experts	Health information dissemination	Ongoing from 2003
Village headmen Workshop	VRC, RMU and DRWG	Consultation and feedback	2003

The following Project design features can be attributed to input that resulted from public consultation, and illustrate how feedback on the interests, needs and aspirations of project-affected people has played a role in the overall process of developing the project.

4.6.1 Influence of Consultations on Plateau Reservoir Resettlement Area Issues

Throughout the process there has been agreement to consult Resettlers on the Village Development Plans and to seek input and advice as to preferences of the Resettlers. Careful attention has been given to the maintenance of ethnic and cultural integrity for the affected persons has been included in the implementation of the RAP.

Numerous options have been examined to minimize the number of affected villages. These options have included the lowering of reservoir heights, in an attempt to reduce the number of families requiring resettlement. As most of the population on the Plateau live along the river, just above the normal flood level of EL 525, the maximum operating height would need to be reduced to about this height before the number of people to be resettled would drop significantly. Such a change would render the Project uneconomic because of the reduction in storage volume and therefore power generation.

Public consultation for the Study of Alternatives supported the present reservoir level. The resettlement plan is, however, such that there are no host communities affected due to the fact that resettlement sites are adjacent to old villages and for the most part within existing village territory. Selection of resettlement

sites, livelihood models, housing styles and other infrastructure recommendations occurred with careful consideration of the current living and livelihood patterns of the affected persons.

4.6.2 Influence of Consultations on Selection and Preparation of Resettlement Sites

The primary factor in determining the size and location of the resettlement villages must be the preference of the Resettlers themselves, linked to the capacity of the sites to provide the necessary economic opportunities. Thus, efforts have been made to select sites within existing traditional territories because such cultural continuity and familiarity potentially reduces disruption or stress created by the resettlement process (see Chapter 8 and Volume 2 Chapter 10). The site selection process also includes assessment of land use capability in addition to the social and cultural aspects of territorial spirits, kinship, cultural practices and traditional resource use areas. Broad areas were identified in 1994 based on the initial discussions with the Resettlers. Areas that were originally identified met the following criteria:

- Moderately suitable for agriculture (attributes such as soil, topography, slope, drainage, etc);
- Easily accessible;
- Water supply is available the year round; and
- Near the reservoir as this was the stated preference of the villagers; and

The two broad potential resettlement areas - lowland areas (Gnommalath and Mahaxai Districts) and the Nakai Plateau - where presented to villagers in the Public Consultation and Participation Process (PCPD) in April and May 1998. The villagers choice of the Nakai plateau as their resettlement area was due to the fact that (a) the area is part of their current traditional lands and (b) the area is on the shores of the reservoir, which the villagers could use a fisheries resource. Thus, the inhabitants of the Nakai Plateau have overwhelmingly chosen to remain on the Plateau, despite being offered paddy land on the plains. Most people will be relocated to areas within their existing administrative village boundaries in surroundings familiar to them. The capacity of the Nakai Plateau areas - in the eyes of the resettlers - to provide the necessary resources for the livelihood of Resettlers was assessed in participatory sessions during the 1996/97 dry season. Table 4-6 summarizes the results of these consultations, which included PRA map-making and sketching of “dream” maps of future villages.

Table 4-6: Resettlement Preferences of Villages on the Nakai Plateau, 1997

Village	Within vicinity	Water source	Road access	Forest access	Grazing areas	Paddy	Orchards	Veg. gardens	Market	Well water	Electricity	Toilets	School	Dispensary	Temple	Village hall	Rice mill
Sop Hia	•	•	•	•				•			•		•	•			
Nam Nian	•	•	•			•			•	•	•	•	•	•		•	
Thalang	•	•	•	•					•		•	•	•	•	•	•	
Nakai-Tai	•	•	•			•	•	•	•	•	•	•	•	•	•	•	•
Nakai Neua	•	•	•			•	•	•	•	•	•	•	•	•	•	•	•
Sop Phene	•	•	•	•	•		•	•		•	•		•	•			
Sop Ma*	•	•	•					•	•	•	•	•	•	•	•		•
Sailom**	•	•	•			•	•	•		•	•	•	•	•	•	•	•
Boua Ma	•		•	•				•	•	•	•	•	•	•	•	•	•
Phonsavang	•	•	•		•	•	•		•		•	•	•	•	•		•
Sop On***	•	•	•	•	•	•	•		•	•	•	•	•	•	•		•
Ban Done	•	•	•			•	•	•	•	•	•	•	•	•	•	•	•
Khone Khene	•		•		•	•					•	•	•	•			•

* Ban Sop Ma includes three hamlets: Ban Sop Ma, Ban Hat Khamphane and Ban Keng Nyao

** Ban Sailom includes three hamlets: Ban Nong Boua Kham, Ban Sailom and Ban Pamanton

*** Ban Sop On includes the three households of Ban Nikhom 3

4.6.3 Influence of Consultations on Village Configurations

PCPD teams undertook extensive community consultation in 1997 and 1998 to elicit preferences on village configuration. In 1997 this involved the Resettlers developing ‘dream maps’ showing features they would envisage as part of their new village. The results of this map-making exercises reveal that villagers wanted the following features for their new villages:

- Orientation along roads with each house having road access. This is different to the traditional villages where the orientation is along the river. The road is seen as representing progress and a link with the outside world that offers markets and potential wage labour.
- Improvements such as electricity, access to running water and privately owned rather than community shared toilets. The preference was for each household to have their own garden area.
- Non-residential buildings such as the school, dispensary, pump-house, village hall and religious structures should be located outside residential areas, as they are in traditional villages.
- Surrounding the village, the Resettlers requested fields for growing rice and crops such as corn, sugar cane or larger plots for vegetables. Some of the maps villagers drew located forests and grazing areas further afield.

Residential areas should consequently form the core of the village surrounded by gardens and fields and with forests at a greater distance. This kind of plan creates a sense of security and allows for continual social interaction. The actual plan of the new villages will depend on the choice of location for each new site and will be based on further discussions with villagers on the location of households, buildings and fields.

4.6.4 Influence of Consultations on House Design

House designs have also been developed through consultation. The design incorporates aspects of traditional house designs. The home (heun) has a private sphere consisting of sleeping quarters, a public sphere for receiving guests and entertaining (verandah) and a production sphere (kitchen for cooking food, washing and growing spices and vegetables). These new structures encompass traditional features including: a verandah, kitchen area, two doors in accordance with kinship taboos, a construction on poles with two ladders (to the kitchen and to the verandah) with an odd number of rungs, and doors which open in a direction other than the west. No house will be smaller than the original dwelling, and the actual size will depend on the number of inhabitants (RAP, 2002).

4.6.5 Influence of Consultations on Pilot village

With the implementation of the development of the Ban Nong Boua Pilot Village Relocation the consultation process has been tested and proven extremely successful. Villagers have been consulted and they have participated fully in a range of activities and decisions, such as:

- The arrangement and allocation of housing plots, according to a fourfold division of clans in this particular village;
- The arrangement and location service buildings, such as the school, nursery etc;
- The new idea to build a children’s nursery;
- The arrangement and allocation of agricultural fields;
- The design of each dwelling, which is entirely the families choice;
- The participation of the families in building their own dwelling under the supervision of a qualified carpenter, resulting in differences in details that express the owners’ individual tastes and desires.

4.6.6 Influence of Consultations in Downstream Areas

- A purpose-built downstream channel was designed to accommodate the release of discharged water from the power station. This represented substantive additional cost to overall Project costs and was an alternative to channelling the water into the Nam Kathang which would have caused environmental and social impact to riparians of the Nam Kathang. The current design of the downstream channel minimizes the resettlement and social impacts. It will be stone or concrete lined and partially above natural ground level, thus allowing a reduction in width and reduction in land requirements. The detailed routing for the downstream channel will be based on the results of consultations with people directly affected.

- The construction of a regulating pond to minimize fluctuations in daily discharge, and thus minimize (or avoid) the erosion that would otherwise result.
- The construction of bank protection at the downstream channel confluence with the Xe Bangfai, thus minimizing erosion that would affect downstream riparians.
- Construction of a re-oxygenating facility in association with the regulating pond to ensure high quality water for downstream areas; in terms of cleanliness, oxygen content and temperature.
- Construction of a diversion gate to allow some of the Regulating ponds water to be diverted to the Nam Kathang Nyai to allow villagers to have water in the dry season dependant on current design changes.
- There is a guaranteed minimum flow into the downstream channel so as to sustain fish populations. In effect, it is anticipated that many people may end up relying on the future fisheries from the downstream channel for a livelihood.
- The commitment to shutdown operation before natural over bank flooding occurs in the Xe Bangfai, so that the Project does not exacerbate natural floods.

Table 4-7: PCPD and Influence on Project Planning

Topic	Comments by stakeholders	Influence on Project Planning
Technical Design	Minimisation of resettlement and compensation downstream of the powerhouse.	A Downstream Channel will be constructed instead of release into the Nam Katang, reducing the number of households that would be affected, plus providing opportunities for gravity irrigation
	Minimisation of resettlement and compensation for new roads.	Construction of roads and upgrading of roads to follow existing road alignments and avoiding inhabited areas
	Minimisation of resettlement and compensation regarding water releases from the power house	A Regulation Pond will be constructed to regulate flows (caused by peak production) and thus avoid unnecessary negative impacts along the Xe Bangfai river communities
	Improved navigation and access from and to markets at Nakai	Navigation channel in the reservoir to ensure that boat traffic will be unimpeded by the raise and fall of the reservoir
Reservoir related relocation Site Selection	Majority expressed a desire to remain on the Nakai Plateau - not to move to paddy land in the lowlands	Resettlement Planning now focussing on the Nakai Plateau and relocation to downstream areas not considered
	Desire to remain within village area, that is within spirit boundaries and land-use boundaries	Most relocation sites are located inside or as close as possible to traditional spirit and land-use boundaries
	Desire for improved services and electricity	Improved health and education services to be provided, and all sites to be provided with electricity and new roads
	Desire, especially by women, for village layout to resemble existing kinship relationships	Villages, headed by the VRC, will be responsible for planning the location of houses according to kinship relations, clans and ethnic affiliation, as demonstrated in pilot village
House designs	Most households stated that they would like to have a 'modern' or Lao style house on poles with a separate kitchen area	Several rounds of discussions and drafting designs of houses have been carried out with villages, and modification to structures and sizes been made accordingly. See Pilot village designs.
	Those with large houses requested to have the option of relocating old houses or salvaging materials	Options for house designs and salvaging of materials included in the resettlement schedule and budget, and allowances for differences in house size and for the formation of new houses for families that plan to split as in the case of new couples residing with parents
Livelihood Model	All villagers were interested in obtaining paddy land as part of the livelihood model	Initial drafts of the model in 1997 did not include such provisions due to the cost and difficulties in obtaining suitable paddy land beside the reservoir. However, the project will ensure that where irrigation is available, paddy cultivation will be trialled, constraints identified and all efforts made to develop wet season paddy as part of the irrigated agriculture areas or in the drawdown zones.
	All villagers requested a desire to continue collection of NTFPs and have access to forests for grazing	Village sites will allow grazing in managed resettlement forest areas and the drawdown zone. Access to NTFPs in the NBCA (controlled use areas) will be allowed
	Villagers were interested in fishing as an important source of food and for sale once the reservoir is inundated	A fishing plan has been designed to ensure that fish resources remain in the hands of Plateau resettlers and not in those of outsiders
	Villagers requested assistance and training as well as equipment for the new livelihood scenarios	Training, education and necessary equipment will be provided to assist villagers in any changes to existing livelihood systems – improved agricultural tools, seeds, nets, etc.
Rituals	Request for rituals to be held for moving villages and houses	Provisions made in moving allowances for individual and collective rituals to be carried out by local ritual experts
	Auspicious day to commence relocation	Local ritual experts and elders to decide on the actual date to commence relocation in conjunction with RMU staff

Topic	Comments by stakeholders	Influence on Project Planning
Village Composition	All villages with the exception of Sop Hia and Nam Nian expressed a desire to be relocated as a whole	No villages are to be split up on the Nakai Plateau
	The Vietic Groups in Sop Hia and Nam Nian wished to be relocated separately from the Tai	Tai households are to be relocated separated at a site in Bolikhamxai Province. Special considerations are being made for the small Vietic groups to have a separate village sub-unit in the vicinity of the new site for Talang
	A few households have expressed to desire to relocate in areas outside the resettlement sites, with relatives in the lowlands or by making their own arrangements	Provisions have been made for a one-off cash payment for these families wishes to 'self-relocate' but follow-up will be carried out thorough monitoring of initial relocation and adjustment
Pilot Village Relocation	Layout of Nong Boua in cluster formation	Several layouts were presented to villagers and after extensive consultations it was decided that the village would be a cluster form and divided into four sub-groupings based on clan as opposed to earlier plans with houses along the road
	Temporary relocation in allotted fields ahead of permanent resettlement	Several villagers have moved in advance of the actual resettlement and built field houses in anticipation of the actual move – this allows a start up of the livelihood model in advance

4.7 PHASE 2 OF LOCAL COMMUNITY CONSULTATIONS (2004 AND 2005)

In 2004, the PCPD entered Phase 2, a second round of extensive consultations with all stakeholders at the local, region, national and international levels with the objective of finalising of the project design, including all social and resettlement strategies and procedures. At the local level, the NTPC Resettlement Office (RO) continues to provide technical support to the GoL RMU office, which has the lead role in the PCPD activities. A summary schedule for this process is presented in Table 4-17 below.

Local level consultations are primarily conducted using interactive workshops and presentations, backed up by the provision of translated summaries of sections of the RAP and EMDP in Lao, and the placement of posters illustrating expected project impacts. This phase of consultations was organised and conducted in three groups, representing the three main groups of PAPs to be consulted are (i) plateau resettlers, (ii) villagers along the Xe Bangfai, and (iii) villagers with assets under Project Lands. A fourth group - the NPA villagers - is dealt with in the SEMFOP.

4.7.1 Plateau and Xe Bangfai Phase 2 Consultations

The general approach of the Phase 2 of Consultations (July-September 2004) was as follows;

4.8.1.1 Consultation materials development

The NTPC's RO staff and RMU staff, assisted by an independent consultations specialist, developed two sets of materials, (a) facilitators information manuals, and (b) posters. The three facilitators information manuals developed were:

1. **General NT2 Handbook:** summary of whole project, including main project features, implementation schedule and zones of impacts and compensation plans.
2. **Plateau handbook:** maps of proposed reservoir, relocation sites, summaries of livelihood options
3. **Xe Bangfai handbook:** presenting information on water quality and flow, predicted positive and negative impacts, mitigation processes, structure of compensation and grievance procedure.

These manuals formed the basis for pre-consultation preparation and orientation for RMU, government staff and Consultation experts who supervised the process.

Posters developed include:

General NT2 Posters:

- Poster 1.1: sketch over view of whole NT2 project reservoir to Xe Bangfa
- Poster 1.2: sketch illustrating steps of grievance procedure

Plateau related Posters:

- Poster 2.1: components if community commercial forestry livelihood option
- Poster 2.2: components of irrigated agriculture livelihood
- Poster 2.3: components of reservoir fisheries livelihood options
- Poster 2.4: components of livestock raising livelihood options
- Poster 2.5: other (off farm) livelihood activities
- Poster 2.6: a summary of livelihood options

Xe Bangfai (downstream) Posters

- Poster 3.1: weekly (daily) discharge from the NT project, in wet and dry season
- Poster 3.2: impact of NT releases on XBF level (river cross section) Mahaxai, wet and dry season
- Poster 3.3: impact of NT releases on XBF level (river cross section) Rd 13 bridge, wet/dry season
- Poster 3.4: general implementation schedule of the XBF program 2004 to 2009 and onwards
- Poster 3.5: summary of 5 negative impacts and 5 positive impacts of the project
- Poster 3.6: compensation process and possible options for loss to mainstream fisheries.
- Poster 3.7: general process for resolving problems with water quality for domestic use
- Poster 3.8: compensation restoration for loss of flooded riverbank gardens
- Poster 3.9: general process for resolving problems with riverbank erosion.

Figure 4-6: NT 2 Consultation Posters, (a) Sketch of Geographical Area, and (b) Grievance Procedure



Figure 4-7: Resettlement Consultation Posters



Figure 4-8: Xe Bangfai Consultation Posters



These materials are both comprehensive yet easily understandable by plateau resettlers. The posters are required for two purposes, (a) for use during facilitated workshops - which requires the materials to be large enough to be easily viewed during group workshops, and (b) for distribution to villages, for permanent display in villages.

4.8.1.2 Facilitator training - development of techniques and tools

The phase 2 of the local level consultations developed two sets or groups of facilitators:

- (a) District level facilitators - mainly Districts staff - whose main role is to train and then assist the village facilitators; and
- (b) Villager facilitators - actual villagers chosen by villagers based on certain criteria - who, following training then become the main facilitators for the whole village and then focus group workshops.

Experienced consultation experts trained all District facilitators and the first group of village facilitators (after which District facilitators trained the remaining villages) in the use of these materials, with special emphasis on adult education of ethnic minorities. During this training, the consultation facilitators manual was used as a guide and the training also included:

- (a) The use of a simple language and comprehension tool to check that indeed all participants understand Lao (as found in earlier surveys), but to identify any participants who may require further clarification based on their own language
- (b) Facilitators are also trained in methods to ensure the full participation of women, an important toll being the conduct of separate male and female workshop sessions and choice sessions.

4.8.1.3 Whole village workshop and focus group discussion of project mitigation

These workshops had the double objectives of (a) dissemination of information and explanations about the main project features and resettlement plans, and the new livelihood options and (b) eliciting villager concerns about these and any proposal to improve them. A third objective was to establish a group of village facilitators, who would continue facilitation during the preparation and then the actual resettlement process. .

The workshops were undertaken following five general steps.

1. Introduction to the village, and then selection/voting of village facilitator group
2. Training of the villager facilitator group by the District facilitator team, in order to both (a) understand the project, its impacts and mitigation and compensation planned, and (b) develop some facilitation skills.
3. Village level workshop whereby facilitators describe the project etc the village.
4. Break out into smaller focus groups (gender disaggregated) where each aspect of the project, its impacts and the mitigation and compensation measures are discussed in detail, and the concerns and proposal of villagers are voiced and recorded. These groups are also facilitated by the VFG
5. Reforming of the whole village group, in which each focus group presents a report of their discussions and proposals.
6. The concerns and proposals are summarised by the village and district facilitator team, and provided back to the RO and RMU (see **Error! Reference source not found.** for a listing of villagers' proposals).

The actual conduct of the village consultations may vary from village to village and between zones. The plateau villagers are much more aware of the project impact and the proposed livelihood alternatives and thus more time was spent on concerns and proposals for improving the program. On the other hand, the Xe Bangfai villagers are not as aware of the predicted project impacts, and thus a focus of the consultations was explaining these impacts to them and eliciting their first general responses.

Figure 4-9: Photos of Plateau Village Consultations, Phase 2 (2004)



Figure 4-10: Photos of Xe Bangfai Village Consultations, Phase 2 (2004)



4.8.1.4 Follow-up and on-going consultations

The following activities will be undertaken to respond to villagers original proposals (from the mid 2004 consultations) and to continue the process thru into implementation.

for the plateau

Consultations on-going, prior to and leading up to the actual relocation;

- (a) another round of consultation workshops to review with villagers their concerns expressed and proposals made during the mid 2004 consultations, and to explain to them the response of the Company and the GOL (see section 4.8.1 below);
- (b) the on-going operation of the village information centres, or village notice boards;
- (c) continued visits to Ban Nong Boua, to enable villagers to more easily visualise the agricultural and livestock components of the new livelihood options;
- (e) Visits to proposed resettlement sites, to confirm or otherwise the resettlement sites, and consultations regarding village layout; and
- (f) Family by family livelihood consultations. Firstly, to assess the villagers' understanding of project impacts, and the potential compensation schemes. If they have demonstrated a good understanding of these, then their opinions will be formalised to indicate which types of compensation they would favour, or consider the most feasible, sustainable and economic. To include 'timing' issues.

for the Xe Bangfai

- (a) workshops for those who were not present in the earlier round;
- (b) operation of the village notice boards;

- (c) Visits to other XBF villages: For those villages who are isolated and possibly not familiar with the compensation and development options proposed, visits to other villages along the Xe Bangfai that have developed, for example, fish ponds and irrigated gardens, will be conducted. This will enable villagers to more easily visualise the fisheries, gardening and household water supply components of the compensation options, and thus make a better choice of these.
- (d) Visits to Theun Hinboun Villages
- (e) detailed consultations regarding compensation and development options and activities - this will be undertaken by a contracted team who will, over a one year period undertake a feasibility study for the Xe Bangfai compensation and livelihood restoration program.

Table 4-8: Schedule for main activities of Phase 2 Consultations, up to Financial Close

Main Activity of Phase 2 Consultation	2003			2004												2005					
	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6
1 Consultation materials preparation																					
2 RMU and DWG Facilitator training																					
3 Plateau village consultations (17 villages)																					
4 NT watershed village consultations																					
5 Xe Bangfai village consultation (89 vills)																					
6 Establishment of VIC and Boards																					
7 Feedback/response consultations, plateau																					
8 Feedback/response consultations, XBF																					
9 Ongoing consultations: Plateau																					
10 On going consultations: Xe Bangfai																					
11 Integration of feedback before appraisal																					
12 Disclosure of SDP																					
13 Final revision for implementation																					

4.7.2 Project (construction) Lands Consultations

The Phase 2 Consultation with PAPs in relation to Project (construction) Land impacts is somewhat different from the Plateau and the Xe Bangfai consultations because:

- a) On the one hand, the exact area to be impacted (required to be acquired and then handed over to the contractor and/or the NTPC) is not yet known - and will only be known progressively as engineering designs and land requirements are finalised.
- b) On the other hand, if a villagers land, asset or livelihood is impacted by a Project Land - is required to be acquired - then this impact is known to be total (although it may be either permanently or temporarily required - but in most cases the former);
- c) Project Land impacts will be assessed and compensation given and effected in a relatively short period of time, probably over a period of 1 to 3 years, compared to 8 or so years programs for the Plateau and the Xe Bangfai ;
- d) In most cases relocation will not be required; and
- e) Project lands are distributed over a large area, with a range of village and land use types, and a range of ethnic types etc.

For this reason, the consultations in relation to Project Lands are closely linked to - are an integral part of - land and assets and livelihood restoration and compensation negotiations with villages and then informal affected families. The following consultations activities are in the process of being conducted and should be completed before Financial Close:

- Remote Information gathering and materials preparation

The initial gathering of spatial data and information via detailed satellite imagery already undertaken is not actually public or participatory consultation, and the rationale and process for this activity is described in Volume 4. Nonetheless, the result of this study - which presents villagers' lands and assets underlying the various project lands polygons, must be prepared for dissemination, explanation and discussion with PAP villagers.

- **Socio-economic survey and Participatory Land and Village Appraisal**

A socio-economic survey of all potentially affected persons will then be undertaken, together with population census. At the same time village PRA will investigate in each village land and forest use of that village, both in and around the Project Land polygon.

- **Information dissemination**

Concurrent to the socio-economic survey and village PRA, information and data on the project lands and assets and land assessed to be under or affected by these Project lands will be disseminated to each village. This will take the form of a large satellite photo/map displayed in the village. If the village has no appropriate notice board, then one will be installed by the Project.

Also disseminated to PAPs will be an explanation of their entitlements and the potential compensation schemes and measures.

- **Land and assets registration**

Also concurrent with the socio-economic survey, PFVA and the information dissemination will, the Projects Lands land and assets registration process will be implemented (Volume 4).

- **Compensation planning consultations (and compensation agreements)**

One to two months after the information dissemination, socio-economic survey and land/assets registration, village consultations will be held to discuss and finalize the compensation measures to be adopted. This will include:

- A review of the project impacts;
- Review of the socio-economic data; and
- Review of potential compensation schemes.

NTPC's RO and the RMU will integrate results of consultations into the planning of detailed compensation plans

- **Compensation agreements**

Consensus and agreements in relation to the compensation program will be formalized by the drafting and signing of a Compensation Agreement with each land and assets holder affected.

Table 4-9: Schedule for (Phase 2) Consultations with PAPs in Project Lands

Main Activity of Phase 2 Consultation	2003			2004												2005					
	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6
1 Information gathering																					
2 Materials preparation																					
3 Socio-economic survey																					
4 Participatory Land and Village Appraisal																					
5 Information dissemination																					
6 Land and assets registration																					
7 Compensation planning consultations																					
8 Compensation agreements																					
9 Ongoing PCP																					

4.8 INTEGRATING PHASE 2 CONSULTATIONS INTO THE SDP

Phase 1 local consultations were undertaken early in the program design process, and villager concerns raised then were used to develop the social and resettlement program between 1997 and 2003. The

resulting program was published, after various revision, as the SDP Advanced draft of 2004 was the basis for the second round of consultations - although the information given to villagers was necessarily summary in nature and focused on the aspects of crucial concern to the villagers.

One objective of the village workshop was to elicit the concerns of the villagers about the impacts and plans explained to them, and especially to hear of their proposal to improve the programs. In analysing the proposals coming from villagers and in deciding how the project (NTPC and) GOL should and will respond, it became apparent that their proposals fall into three general categories:

- (i) Proposals on issues which are already considered or included in the Concession Agreement and SDP;
- (ii) Proposals that are currently not in the CA or SDP but are worth considering, appear both reasonable and directly related to the program and thus should be considered, and a response given by, the NTPC and GOL. They may be included in the plan; and
- (iii) Proposals which are either obviously unfeasible or unreasonable, or are outside the mandate and responsibility of the NT2 protect.

Table 4-10 and 4-11 presents the proposals of villages on the plateau and along the Xe Bangfai respectively, allocated to either one of the above three categories, and ranked according to the score or the number of villages that raised the proposals. Obviously, the higher the score the more common and widespread is the proposal, and on this basis the more seriously that the NTPC and GOL should consider it. These proposals are now being studied, and a detailed response is being discussed and drafted for each proposal, a summary of which is presented below.

4.8.1 Influence of 2004 Consultations on Nakai Resettlement Issues

The full list of proposals presented by villagers during the mid 2004 consultations is presented in table 4-?? below.

While the consultations on the plateau were able to present to villages a reasonably well developed strategy and plans for resettlement and development on the plateau, Table 4-7 shows that there were a large number of proposals raised by the villagers that were actually already in the CA and/or the SDP. This suggests that either:

- (a) the complexity of the whole plateau program, together with most villagers being unable to read, meant that only the essential aspects, a simplified versions of the plans were explained to the villagers during the one day information dissemination, and thus, they did not realise all of the contents of the plan and policy; and /or.
- (b) in some cases, villagers may have realised that their proposals were in the plans, but they wanted their voices and concerns to be heard again, to reinforce the requirements.

In either case that fact that all these proposals are in the Plans suggests that it is appropriate, and that its provision and activities should indeed be carried through.

However, a number of important issues were raised that are not currently included in the Plans but will be considered since they are relevant, related to initiatives and may be feasible. The conditions under which these proposal will be incorporated in the SDP and then implementation of the SDP are also presented in Table 4-10 below

Since these requests are village-specific or even household-specific and their feasibility depends to some extent on the actual village location, further modifications in the detailing of sites will be considered during the detailed planning directly before relocation and the actual implementation of the relocation and livelihood development after appraisal.

A second round of consultations was conducted with Resettlers on the Nakai Plateau to confirm site selection and layout as well as to reconfirm the number of villagers and household that would be relocating at the new sites. Results are discussed in detail in Volume 2 Chapter 5. A full report was compiled in Lao (January 5, 2005), and key sections have been translated into this chapter of the SDP.

Table 4-10: Summary Matrix of Proposals and indicative NT2 Project Response, from 2004 Nakai Plateau Village Consultations**1: PLATEAU ISSUE: VILLAGE LAYOUT**

Proposals Within the Scope of the Project		
A: Already under the present CA and SDP	# villages	Ref¹ (SDP Vol/Chapter or CA Sched 4, Part 1 Clause)
1 To clear UXO before moving to new village	7	Chapter 10.4, Clause 7.10.1
2 To move to the new village when the house and garden already completed	7	Clause 8.7.1 (However, needs clarification with villagers as plan is to involve them in construction and land development, for (a) ownership, and (b) income source)
3 To fence the village with barbed wire	6	SDP detailed budget line G, Clause 8.2,
4 To have a new school, clinic and village office	5	Chapter 10.7, SDP detailed budget line H7
5 To have village drainage system	4 / 3	Chapter 10.5, Clause 8.6.1
6 To plan good village layout, road passing every house & around the village	3	Chapter 10, Clause 7.6.1
7 To have village cemetery, Phi house or pagoda	3 / 3	Chapter 17, 19 (land allocated in village planning)
8 To be allowed to select new resettlement village	2	Chapter 10.3, Cause 7.8.1
9 To be issued land title, house ownership certificate	2	Chapter 10.10, Clause 14.1
10 To have the garden and house in close proximity	2	Chapter 10. (This is always an option, to be decided village by village. However, electricity supply to houses disbursed through farm lands may be a problem).
11 To have additional land for future village expansion	2	Chapter 10. (in the degraded forest areas for house land and rainfed agric, or on the drawdown zones)
12 To have house close to relatives house	3	Chapter 10, Clause 7.3.1, 7.6.1
13 To have irrigation system	1	Chapter 13, Clause 8.5.6
14 To have new village office	1	Chapter 11.7
15 make sure that house in the new village will be located on flat land	1	Flat areas will be the priority location of housing areas
B: To be considered during detailed Planning	# villages	Conditions for inclusion
1 To have larger house area than pilot village's house, up to 50m x 50 m	3 / 5	If land is available on site, land will be allocated, but closer to current land of 30 to 40 rather than 50
2 To have agricultural area larger than 1 ha/hh	2	Chapter 12 explains that extended rainfed agriculture and drawdown zones feasibility will be tested and then land allocated if they are feasible.
3 To have well and tap to all houses	3	Planned to have 1 water tap or well for 5 HH, but water can be relayed to each houses rainwater tank via flexible hoses (as is done in pilot village).
4 To redo the village layout (Ban PhonPhanbaek)	1	The Project will now assist to rebuild Ban Phonphanpaek houses, SDP, Vol 1, Annex 3-4.
5 The distance between houses to be about 20m	1	'As above'
C: Proposals not within the Scope of the Project	# villages	Explanation
1 Want land to be allocated according to family size		Irrigated land in the chosen Resettlement Area is limited, and thus allocating irrigated land based on family size and current holdings is considered not feasible. However, larger families can (a) work the land more intensively, (b) talk advantage of other off-farm opportunities. In addition, large families and those with current large paddy holdings will be given first preference in rainfed agriculture and drawdown zone agricultural plot allocation

2: PLATEAU ISSUE: HOUSE DESIGN AND CONSTRUCTION

Proposals Within the Scope of the Project		
A: Already under the present CA and SDP	# villages	SDP Chapter/section, CA Sched 4, Part 1 Clause
1 The house to be built with hardwood	10	Vol 2 Chapter 11.6, Clause 8.6.1
2 To have veranda on the stair with roof	7	Vol 2 Chapter 11.6, CA to be modified to include
3 The house to be 2.5 to 3m high	6	Vol 2 Chapter 11.6, (no height specified in CA)
4 Ground floor column concrete/top floor hardwood	6	Vol 2 Chapter 11.6, Clause 8.6.1
5 To be allowed to build own house	5	Vol 2 Section 11.6 (participate with contractor as part of

¹ Reference is to Appraisal Draft SDP chapters, but to 2004 version of the Concession Agreement

			team, or can apply to be a contractor but must demonstrate ability for timely work).
6	To be allowed to design the house	5	Section 11.6, Clause 7.4, amended clause 8.6, to allow participation of villagers in house design)
7	To have at the same size as current house (even 1 person family)	3	Clause 14.1, A1, bullet 8 (entitlements)
	Want to use materials from old house	3	This is already envisaged, as the Project will assist in transporting of dismantled housing materials. Up to family if their own materials are considered part of basic house entitlement, or they use them to build a large houses, or outhouses, etc
8	To have wall with vertical and horizontal arrangement	3	Need to clarify villager request, but likely to be able to accommodate in design and actual construction.
9	Water tank to be 5 to 8m from house, in backyard	3	No problem, if water from filtered system.
10	To have open room without wall in between	3	No problem, as design up to villagers
11	To have house close to relatives' houses	2	Clause 7.7: as long as consensus within village
12	To lay floor timber tightly	2	No problem, but means that the wood must be dried before use.
13	To have twin roofed house	2	To be specified in final SDP that possible for houses with 9 members or more - or, if old house material are used to increase size, and thus twin roofs
14	Water tank to be near the house around 3m	1	No problem (not specifically mentioned in SDP/CA)
15	To plane timber (all sides)	1	To be reviewed on terms of contract cost
16	Not to build the house in the center of the land parcel	1	Clause 7.4 & 7.7. Placement up to each household
17	Door to be in the center of the room	1	Clause 7.4 & 7.7. Design up to each household
18	Veranda platform to be attached to the house	1	'as above'
19	To have traditional style house	1	'as above' (pilot village example is already in traditional style, so why this question ?)
	B: To be considered during detailed Planning	# villages	Conditions for inclusion
1	House columns size 20cm x 20cm X 3.5m long	14	While not specified in the SPD or CA, this size will be provided - but rebar quality also crucial.
2	Kitchen 2.5 to 4m from the house, with air vent	12	Possible, if agreed to in the design.
3	To have large bath room with toilet 3m x 3m	9	Agree to expand toilet to include bathroom, and amend Clause 8.6.2 (although may be 3 x 2.5)
4	Timber beam to be 18cm to 20cm thick, and 5 cm wide.	8	Will ensure that the timber beam is thick enough, and same as current, similar Lao houses
5	Toilet to be far from the house around 10m	4	No specified in CA/SDP, but should be no problem
6	To level the land before building the house	3 / 4	No specified in CA or SDP, as current villages evolve according to the 'lay of land'. May be considered as part of land preparation, and related to village drainage.
7	To install electrical tubes in each room	3 / 6	Will be added to entitlements
8	To pour the bottom floor with concrete	2	To be considered only when a current house has concrete floor, and if jealousies do not result.
9	Toilet to be attached to the house	2	No specified in CA/SDP, but should be no problem
10	To have window for each room	2	Will be added to house designs, Vol 2 Chapter 11.6.1 (except if households chose small rooms)
11	To have relaxation area in the house	2	Up to villagers design, but cannot exceed house area entitlement (clause 14.1). Can also be built by using current house building materials.
12	To have a reception room	2	"as above"
13	To paint with anti-termite, paint the roof wind break	1	No specified in CA/SDP, but will be included
14	To have larger house for future generation: 70m x 70m	1	CA states that households with 7 or more members have the option of two houses. Thus will be expanded to include (also) 'option of two house plots'. In addition land to expand village will be identified.
	PhonPhanpaek village		
1	To drill underground wells and repair old ones	1	To be include in PhonPhanpaek Plan
2	To install electrical line to the village and houses	1	"as above"

3	Replace the columns with repair costs allocated	1	"as above"
4	To issue land title, house ownership certificate	1	Land title entitlement also applies to this village
C: Proposals not within the Scope of the Project		# villages	Explanation
1	To have a ceiling in the house	13	Few, if any Lao rural houses have these, as they can be unsanitary and pest havens.
2	To have the roof of fibro-cement tile	7	Tin more durable, (b) good for rainwater collection.
3	To have taps to every house and to upper floor	5 / 4	Few Lao wooden houses have taps in top floor.
4	To have barbed wire around the house	5	Between house fencing is responsibility of villages, as in current villages.
5	To have concrete beam of 40cm thick	2	need to clarify requirement.
6	To have larger kitchen: 3.5 x 4m	2	Few, if any Lao rural houses have kitchens this big. However, householders can expand with their own current materials.
7	To have a one floor brick/cement house	2	If current house is like this, then yes, or if cost is same as current design for elevated wood house.
8	To have electrical fans for every house	1	Few rural houses have. Nakai is a cooler climate.
9	To have beds, cupboard & other furniture	1	Villagers will be supported to transport their current furnishings from current location.
10	To have 2 toilets, light tubes for more than 5 pers family.	1	Few, if any Lao rural houses have 2 toilets, and currently very few Nakai house have even 1 toilet.
11	After having received the house, go to other place	1	Only after the "end of resettlement period", expected to be about 8 to 9 years (this will be caveat in title)

3: PLATEAU ISSUE: CROP PRODUCTION

Proposals Within the Scope of the Project		
A: Already under the present CA and SDP		# villages
1	To have extension services, seeds, funds and training	12
2	To have larger garden: 1 ha/hh	10
3	To have a reliable market	8
4	To have an irrigation system	6 / 4
5	To have agricultural production tools	5
6	To clear UXO within the agricultural area	5
7	To have staff monitor daily the activities	3
8	To conduct a survey to improve soil quality	3
9	To compensate for trees planted in old village	2
10	To be allowed to survey own agricultural land	2
11	Wish to cultivate rice production (wet & dry season)	2
12	To organize production groups within the village	1
13	To have clear land allocation	1
14	To provide rice during the relocation period	1
15	The project to pay water and electricity fees	1
B: To be considered during detailed Planning		# villages
1	To have labour payment of 20,000 K / day	3
2	To have hand wheel tractor	2
3	To have activities before relocation	2
4	To prepare the agricultural land before relocation	2
5	To compensate the rice area	1

4: PLATEAU ISSUE: LIVESTOCK

Proposals Within the Scope of the Project		
A: Already under the present CA and SDP	# villages	SDP Chapter/section, CA Sched 4, Part 1 Clause
1 To have extension services, breeds, funds & training	12	Vol 1 Chapter 6, Vol 2 Chapter 12. Clause 9.8
2 To have large livestock area (as compensation)	12	Vol 2 Chapters 10 and 12. PM Decree 1P3 assigning the 20,000 ha to resettlers (not in CA ?).
3 To have reliable market	10	Vol 2, Chapter 28. A sanitary abattoir and cool store market will also be added to SDP plan.
4 To have village veterinary staff	8	Vol 1, Chapters 6, Vol 2 Chapter 12.
5 Wish to keep number of large animals	8	Vol 2, Chapter 12 (<i>measures taken to ensure forage supply for at least current level of large animals</i>)
6 To improve animal feed	3	"as above", Clause 9.8
7 To increase poultry raising	2	Vol 2 Chapter 12, detailed SDP budget
8 To be allowed to look for own livestock area	2	Vol 2 Chapter 10 and 12 (to 'participate in'), Cl. 9.8.3
9 Wish to raise pigs	2	Vol 2 Chapters 12 and detailed SDP budget
10 To keep benefits from animal raising for individuals	1	Need to clarify proposal
11 To have assistance in looking for animal grazing areas	1	Vol 2 Chapters 10 and 12. Clause 9.8.3
B: To be considered during detailed Planning	# villages	Conditions for inclusion
1 To assist in making livestock house	3	To be added to Plans and CA (already undertaken in Pilot Village)

5: PLATEAU ISSUE: RESERVOIR FISHERY

A: Already under the present CA and SDP	# villages	SDP Chapter/section, CA Sched 4, Part 1 Clause
1 To be trained in fishing techniques / fish raising	6	Vol 2, Chapter 15, Clause 9.11.8
2 To have funds, tool, fishing boat & refrigerator	5	Vol 2 Chapter 15 (trader loans), Clause 9.11.4 & 5
3 To arrange study tour to Nam Ngum fishery	4	Vol 1 Chapter 7, Vol 2 Chapter 15
4 To have a fish market	2	Vol 2 Chapter 15, Clause 9.11.6
5 Give priority for fishing in reservoir for resettlers	2	To be included in amended CA)
6 To establish reservoir fishery association	2	Vol 2 Chapter 15, Clause 9.11.2
7 To have fish transportation means	1	Vol 2 Chapter 15 (loans for traders)
8 To establish fish reservation area	1	Vol 2 Chapter 15, Clause 9.11.2
B: To be considered during detailed Planning	# villages	Conditions for inclusion
1 To have fish pond / frog or eel pond	4	Where ecologically and economically feasible, assistance via loans and TA/extension advice.

6: PLATEAU ISSUE: FORESTRY

A: Already under the present CA and SDP	# villages	SDP Chapter/section, CA Sched 4, Part 1 Clause
1 Train on NPVFA in its responsibilities, management.	6	Vol 2 Chapter 14.6, Clause 9.7
2 Every resettler to be member of NPVFA	4	Clause 9.7.2 (b) the NPVFA AoA must be amended, as currently it gives resettlers the free choice to be member or not.
3 To have tool & vehicles to cut trees	2	Vol 2 Chapter 14, SDP detailed budget, Clause 9.7.6, 10.3.1 and 10.5.8
4 To be allowed to collect non timber forest product	2	Vol 2 Chapter 14, Clause 9.7.1
5 To be allowed to plant, cut and sell trees	1	Vol 2 Chapter 14, Clause 9.71 "community ownership of first resource ..will allow.. resettlers to participate directly in commercial logging".
6 To compensate for forestry trees planted	1	Compensation will be allocation of resettlement Area forest to villagers.
7 To have fund for trees planting and forest patrol	1	SDP detailed budget
B: To be considered during detailed Planning	# villages	Conditions for inclusion
1 To compensate for forestry trees planted (SopOn village, teak trees)	1	CA and SDP to be amended to include cash compensation for loss of 'plantations'. Currently clause 14.1-A1-5 mentions only fruit trees
2 To be allowed to cut trees for building / repair the house	2	As per the 5 m2 per HH allowance (Forestry Law) and approval of NPVFA.
3 To be allowed to export logs	2	If part of business plan of the NPVFA. Cl. 9.7
4 To have furniture factory in each village	1	"as above"

7: PLATEAU ISSUE: OTHER LIVELIHOOD OPTIONS

Proposals Within the Scope of the Project		
A: Already under the present CA and SDP		# villages
1	To be trained in new occupations	13
2	To have priority in getting work with Project	6
3	To have fund and tool for small construction work	2
B: To be considered during detailed Planning		# villages
1	To have sewing machine / weaving machine	5
2	To have fund for small trading business	4
3	To have special assistance for aged, widows, underprivileged	3
4	To compensate with other livelihood options	2
5	To promote blacksmith in the village	1
	New staff to be recruited from the resettlers	1

8: PLATEAU ISSUE: OTHER INFRASTRUCTURE

Proposals Within the Scope of the Project		
A: Already under the present CA and SDP		# villages
1	To have safe and clean water supply	6
2	To build a road to the village	3
3	To have an open air spot for house location	1
B: To be considered during detailed Planning		# villages
1	To fence around the village and the gardens	3
2	To have a compost factory in each village	1
	If villages have extra buildings - rice mills, alcohol stills etc, then these should be moved also	
C: Proposals not within the Scope of the Project		# villages
1	To rebuild the Phi (spirit) house	1
	To have home alcohol production factory	1

Table 4-11: Summary Matrix of Proposals and indicative NT2 Project Response, from 2004 Xe Bangfai Village Consultations

1: XBF LIVELIHOOD ISSUES

Proposals Within the Scope of the Project		
A: Already under the present CA and SDP		# villages
<i>Mabaxai</i>		
i	To develop fish ponds	21
ii	To have fund for livestock raising (low int. loan)	3
iii	Need to be trained in fish raising	2
iv	To compensate fishing loss with new occupation	1
v	Need agriculture skill training	1
vi	Need to have fish pond	1
<i>Xe Bangfai</i>		
i	To compensate with village fish pond (wetlands ?)	12

ii	Need to clear land for new garden	2	Section 8.13
	Nongbok		
i	To have village fish pond	26	Section 8.12
ii	To have family fish pond	7	Section 8.12
iii	To have fund & technician (fish production)	5	Section 8.12
iv	To have fish in rice field raising	4	Section 8.12
v	To have rice and vegetable seeds	4	Section 8.13 (for vegetable seeds only)
vi	To have fish fingerlings	3	Section 8.12
vii	To be trained in fish raising	3	Section 8.12
	Xaibouly		
i	To have village fish pond	26	Section 8.12
ii	To have family fish pond	7	Section 8.12
iii	To provide rice and crop seeds	4	Section 8.13 (for vegetable seeds only)
iv	To be trained & have permanent extension worker	4	Chapters 7 and 8
v	To raise fish in rice field / cage with fish fingerlings	3	Section 8.12
	B: To be considered during detailed Planning	# villages	Conditions for inclusion
	Mabaxai		
i	To clear new or additional paddy field	10	If/where chosen as a fisheries compensation options, and if feasible and cost effective.
ii	Need skill training centre in the village	1	Training will be given, but no 'centre' established.
	Xe Bangfai		
i	Need permanent, reliable irrigation system of a good (working) standard	15/16	If/where chosen as a fisheries compensation option, and if feasible and cost effective; or where required for watering relocated riverside gardens.
ii	To compensate rice field (if affected)	2	If demonstrated that affected by Project.
iii	Need to have fish cages	1	If/where chosen as a fisheries compensation options and if feasible (may not be due to Sunday drawdown)
iv	Need revolving fund (livestock, handicraft ...)	1	If/where chosen as a fisheries compensation option, and if feasible and cost effective.
v	Need to clear and develop a dry season rice area	1	"as above"
	Nongbok		
i	To clear permanent cultivated land	11	If/where chosen as a fisheries compensation options, and if feasible and cost effective.
ii	To reduce the electricity cost for irrigation pumping	5	Electricity subsidies are being considered for the fisheries & riverbank garden compensation programs
i	To have village revolving fund	5	If/where chosen as part of fisheries or river bank garden compensation.
ii	To have new pasture land	4	"as above"
iii	To expand dry season area	2	"as above"
iv	To raise fish in cage	2	"as above"
v	To compensate fish pond for garden lost	1	If required by PAP, although Project intends to replace gardens by gardens, and ponds are in the fisheries compensation.
	Xaibouly		
i	The GOL to reduce electricity cost for irrigation pumping	5	The fisheries and garden compensation program may subsidise electricity for irrigation for a period of about 5 years (under review).
i	To assist clearing permanent agricultural land	3	If/where chosen as a fisheries compensation options, and if feasible and cost effective.
ii	To have agriculture and livestock areas	2	"as above"
iii	To expand dry season rice area	2	"as above"

2: XBF EDUCATION ISSUES

Proposals Within the Scope of the Project		
A: Already under the present CA and SDP	# villages	SDP Chapter-Section reference
n.a.		
B: To be considered during detailed Planning	# villages	Conditions for inclusion
n.a.		
C: Proposals not within Scope of the Project	# villages	Explanation
Mabaxai		
i	Need village school	12
		Schools not impacted by project, or considered as

Proposals Within the Scope of the Project		
		compensation option.
<i>Xe Bangfai</i>		
i Need village school	6	Schools not impacted by project, or considered as compensation option.
<i>Nongbok</i>		
i To have standard school	17	Schools not impacted by project, or considered as compensation option.
ii To have village kindergarten	2	"as above"
<i>Xaibouly</i>		
i To have primary school	17	Schools not impacted by project, or considered as compensation option.
ii To have sport ground and accessories	4	"as above"

3: XBF HEALTH ISSUES

Proposals Within the Scope of the Project		
A: Already under the present CA and SDP	# villages	SDP Chapter-Section reference
<i>Mahaxai</i>		
i To develop water well or underground well	10	Section 8.14
ii Ned to have clean water supply	8	Section 8.14
iii To provide rain water jars	6	Section 8.14
<i>Xe Bangfai</i>		
<i>Nongbok</i>		
i To build water well & underground well	20	Section 8.14
ii To have safe & clean water supply	18	Section 8.14
iii To have medicine during flood period	5	Section 8.7
iv To have health personnel in the village	1	Section 8.7
<i>Xaibouly</i>		
i To dig well or underground well	20	Section 8.14
ii To have clean water supply system	18	Section 8.14
iii To have health officer and medicine during flood	5	Section 8.7 (proposal requires clarification)
B: To be considered during detailed Planning	# villages	Conditions for inclusion
<i>Mahaxai</i>		
i Need village clinic	17	Some villages - dependant on detailed planning and implementation of Regional Health Plan.
<i>Xe Bangfai</i>		
i Need village Clinic	7	"as above"
<i>Nongbok</i>		
i To have village Clinic	21	"as above"
ii To build village water supply	5	If/where chosen as a domestic water compensation option, and if feasible.
<i>Xaibouly</i>		
i To have health centre (with staff)	21	"as above"
C: Proposals not within Scope of the Project	# villages	Explanation
<i>Mahaxai</i>		
i To provide toilet	10	Defecation practices not impacted by Project.
<i>Xe Bangfai</i>		
i To provide toilet	14	Defecation practices not impacted by Project.
<i>Nongbok</i>		
i To provide toilet	11	Defecation practices not impacted by Project.
<i>Xaibouly</i>		
i To provide toilets	11	Defecation practices not impacted by Project.

4: XBF INFRASTRUCTURE ISSUES

Proposals Within the Scope of the Project		
A: Already under the present CA and SDP	# villages	SDP Chapter-Section reference
<i>Mahaxai</i>		
i Make a permanent pump station, or move up the bank	9	Section 8.16 (if impacted by erosion), Sections 8.12 and 8.13 (if part of fisheries-garden compensation).

ii	To build bank protection along XBF <i>Xe Bangfai</i>	8	Section 8.5 (where erosion due to Project impact).
i	To move the pump house up the bank of the river <i>Nongbok</i>	1	"as above"
i	To repair pumps when damaged flooded	2	Section 8.5 (but only in order to ensure compensation options work).
ii	To build/repair flood gates along the river <i>Xaibouly</i>	2	Section 8.6
i	To have bamboo ferries to cross the river	3	Section 8.15
ii	Need a bridge over Xe Noy	1	Section 8.15
B: To be considered during detailed Planning		# villages	Conditions for inclusion
<i>Mahaxai</i>			
i	Need bridge over the village stream	10	If present bridge is affected by the Project.
ii	To build new stairs (access) down to the river	10	If eroded or otherwise affected by the Project, or included in the riverbank protection program.
iii	Need to have suspension bridge across the river	6	Only considered for prime populations centres - across Nam Phit mouth, and at old Mahaxai.
iv	Need to have a bridge across Nam Phit	1	"as above"
v	Need road to pasture land	1	If required for fishers compensation program.
vi	To compensate for loss of sand / gravel mining (Pova Neua, a couple of families)	1	If livelihood or income affected.
<i>Xe Bangfai</i>			
i	Need to have flood dyke	5	Dependant on study of Projects impacts of floods.
ii	Need sluice gate and bridge over stream	4	If required as part of fishers compensation program (or part of flood control - dependant on study).
iii	The GOL to decrease electricity rate for irrigation pumping	2	If/where chosen as a fisheries compensation option, and if feasible and cost effective.
ii	To build bank erosion protection at critical areas	1	If demonstrated to be affected by Project.
iv	Need a bridge over Tad Kham stream	1	Only if current dry season crossing affected by Project.
v	Need a bridge over Say Phay stream	1	"as above".
<i>Nongbok</i>			
i	To build protection dyke along the river	21	Dependant on study of Projects impacts of floods.
ii	To build good, standard irrigation system	23	If/where part of fisheries or river bank garden compensation.
iv	To install new pumping station	6	If/where part of fisheries or river bank garden compensation.
v	To have bamboo ferry across XBF	3	If XBF flows from NT2 impact the current ability to cross river, and in which season.
vi	To build village reservoir	1	If/where chosen as part of fisheries or river bank garden compensation.
vii	To have water delivery pipes	1	If/where chosen as part of fisheries or river bank garden compensation.
<i>Xaibouly</i>			
i	To have flood dyke along the river	20	Dependant on study of Projects impacts of floods.
ii	To have good, standard irrigation system	23	If/where chosen as part of fisheries or river bank garden compensation.
iii	To install new pumps	6	If/where chosen as part of fisheries or river bank garden compensation.
iv	To establish the village information boards	7	As required, in order to inform about Project.
v	To install flap gates in all tributaries	2	If/where chosen as part of fisheries or river bank garden compensation, or flooding control program.
vi	To fix the pumps if damaged by flooding	2	If/where pumps are chosen as part of fisheries or riverbank garden compensation.
vii	To have drainage pipe to drain to the river	1	Dependant on study of Projects impacts of floods.
C: Proposals not within Scope of the Project		# villages	Explanation
<i>Mahaxai</i>			
i	Need earth to fill village road, or build village road	14	Village access not a NT2 compensation program.
ii	Install electricity to the village, to be used for pumping	8	GOL/WB Project already addresses this issue.
iii	To explode rapids (easier navigation, flood minimization)	3	Navigation to be made easier by NT2 Project.

iv	Excavate cut through river where too much zig-zag	2	Not part of NT Construction program.
v	Need pipe culverts	2	Village access not an NT2 compensation program.
vi	Need village office	1	Not impacted by NT2 Project, and not part of compensation program.
vii	Need 3 phase electricity for village business expansion	1	GOL/WB Project already addresses this issue.
viii	To excavate 'straight' after the Nam Phit confluence	1	Not part of NT Construction program.
ix	Need telephone in the village	1	Not impacted by NT2 Project thus no compensation.
x	To expand river size at Padek rapid	1	Not part of NT Construction program.
xi	Need to build a pagoda hall	1	Not impacted by NT2 Project thus no compensation.
xii	To have village sport stadium	1	Not impacted by NT2 Project thus no compensation.
<i>Xe Bangfai</i>			
i	Need road to the village	11	Village access not NT2 compensation program
ii	Need to have electricity to the village	9	GOL/WB Project already addresses this issue.
iii	To have bridge over XBF river	3	Not part of NT Construction program,
iv	To explode Keng Xoy rapid	2	Not part of NT Construction program,
<i>Nongbok</i>			
i	To build bank protection	20	Project not likely to cause erosion in this XBF section
ii	To build village road	19	Village access not impacted by NT2 Project,
iii	To build step to river bank	4	Not impacted by NT2 Project.
iv	To build bridge across a XBF tributary	3	Not impacted by NT2 Project.
v	To build village market	2	Not impacted by NT2 Project.
<i>Xaibouly</i>			
i	To build bank protection	20	Project not likely to cause erosion in this XBF section
ii	To have road between villages	19	Village access not impacted by NT2 Project.
iii	To have access track to the river bank	4	Current access not impacted by NT2 Project.
iv	To build bridge across XBF tributary (if flooded)	3	Only if current dry season crossing are affected by the Project - not likely.
v	To compensate bank erosion even 5 years after running the power	1	Project not likely to cause erosion in this XBF section
vi	To install electricity along the road to the village	1	GOL/WB Project already addresses this issue.
vii	To have live saving boat during the flood	1	NT2 Project not affecting floods in terms of 'increased threat to life' and thus compensation not applicable.

5: XBF GENERAL ISSUES

Proposals Within the Scope of the Project			
A: Already under the present CA and SDP		# villages	SDP Chapter-Section reference
<i>Mahaxai</i>			
<i>Xe Bangfai</i>			
i	Wish NT2 to start quickly	2	Dependant on WB and ADB approval
<i>Nongbok</i>			
i	To compensate according to loss	12	Chapter 8
ii	The Project to start soonest	6	Dependant on WB and ADB approval
iii	To mitigate unclean water	1	Section 8.14
iv	Priority for compensation should focus on those actually impacted	1	Chapter 8
v	To ensure same living conditions	1	Chapter 8
vi	NT2 staff to follow up support	1	Chapter 7 and 8
<i>Xaibouly</i>			
i	To compensate appropriate to losses	12	Chapter 8
iii	To conduct impact study soonest possible	1	Chapter 8, 8.20
B: To be considered during detailed Planning		# villages	Conditions for inclusion
<i>Mahaxai</i>			
i	Wish to have jobs with the NT2 project	7	As compensation programs are implemented, priority will be given to local labour and local contractors.
ii	Need a village loud speaker	1	If/as required, to make announcements re weekend and public holiday shut downs and start ups.
iii	Need skills training to work with NT2	1	If/where chosen as part of fisheries or river bank

			garden compensation.
iv	To compensate traditional festival benefits on the sand beach	1	Compensation or mitigation plans will be to be developed.
	<i>Xe Bangfai</i>		
i	To have village information centre	8	If required, for information about the Project.
ii	Need to work with NT2 (new job)	4	A very few permanent jobs may be available (monitoring etc), but many temporary jobs during program implementation
	<i>Nongbok</i>		
iii	To build information board or village office	7	If required, for information about the Project.
iii	The Project employ local villagers	2	As compensation programs are implemented, priority will be given to local labour and local contractors.
iv	To compensate island lost in the Mekong	1	If part of riverbank gardens compensation program
v	To help during flood period	1	NT2 Project not affecting floods in terms of 'increased threat to life', so need to clarify proposal.
	<i>Xaibouly</i>		
ii	To have village development fund	5	If/where chosen as part of fisheries or river bank garden compensation.
iii	To build bank protection around pagoda	2	If erosion increase is demonstrated to be due to NT2 Project.
iv	To work with NT2 Project	2	A few permanent jobs may be available (monitoring etc), but many temporary jobs will be available during program implementation.
	C: Proposals not within the Scope of the Project	# villages	Explanation
	<i>Mahaxai</i>		
i	Need to have boat with engine for inter village communication	1	While NT 2 project will make navigation easier, the Project not responsible for lateral transport.
	<i>Xe Bangfai</i>		
i	To improve tourist sites	1	Not the responsibility of the project
	<i>Nongbok</i>		
i	To relocate low house along the river	3	Limited rise in river levels in Nongbok section, and no erosion (due to Project) is expected.
ii	To reduce the fertiliser cost	2	Not impacted therefore not part of NT2 Project
	<i>Xaibouly</i>		
i	The GOL to reduce fertiliser cost	3	Not impacted therefore not part of NT2 Project
ii	The GOL to solve villagers' debts to the bank	1	Not impacted therefore not part of NT2 Project
iii	The GOL to guarantee the rice price	1	Not impacted therefore not part of NT2 Project

4.8.2 Influence of 2004 Consultations on Xe Bangfai Issues

As is the case with the Nakai Plateau consultations, the results reveal that villagers' appear to have understood most of the impacts since their concerns and proposal deal with relevant issues, such as livelihood concerns, water supply, irrigation development, fish ponds, etc. However, the compensation and development planning of the Xe Bangfai region is not as well developed as for the plateau resettlement, and this rather more of the villager proposal fall into the category of 'not currently in the plans, but will be seriously considered. Nonetheless, proposals that are already covered under the Concession Agreement and existing plans in the SDP represent about 40% of the issues.

The Consultation results reveal that the issues in the Xe Bangfai are not as well defined, in terms of mitigation or compensation arrangements, as with the Plateau resettlement programme, due to the nature of the impacts, the mitigation framework and the wide range possible options available. The challenge is how to mitigate possible project impacts in a way that promotes development of livelihoods, infrastructure and other aspects. Thus key issues and proposals that may be considered if they are proven feasible area:

- Assistance to clear additional land for agricultural development (livelihood),
- Need permanent and reliable irrigation system, (repairs and upgrades to current systems
- To have fund for livestock raising (low interest loan
- Need bridge over the village stream

- Need to have suspension bridge across the river
- To build dyke for flood protection (Increase height of road)
- Provisions for work on the NT2 Project
- To have village revolving fund: and
- To reduce cost of electricity for irrigation pumping

Some issues which villages propose, but which are not the mandate of the NT2 Project and go beyond compensation for project impacts, include;

- Establishing village schools,
- Supplying toilets for village (health),
- Skills training centres and community buildings,
- Removal of rapids,
- Expanding existing road systems and
- Financial support (cost reductions and subsidies for production costs).

Since many villagers do not yet fully understand the limits of compensation offered by the Company, it will be necessary to explain further the extent of project impacts and the scope of compensation. This will then address the problem of too high expectations and subsequent problems that may arise during the implementation of the compensation plan.

Villages that were consulted with less than 50% of PAPs being represented at the first meetings were revisited by the consultation teams on January 4-9, 2005. Results are presented in Chapter 5, Volume 2. Most of the concerns and suggestions mirror the results of the first round of consultations presented in Tables 4-10 and 4-11.

4.8.3 Other Ongoing Local Consultations

A number of consultation meetings have recently been completed or are going at present. These consultations are presented in Volumes 2, 3 and 4 of the SDP and include:

- Remaining villages along the Xe Bangfai that had less than 50% attendance during the first round – see Chapter 6, Volume 3;
- 15 Village sample in the Riparian area – remaining villages to be consulted (disclosure) by the end of February 2005 – see Chapter 6, Volume 4;
- Consultations at Oudomsouk town concerning urban planning arrangements– see Chapter 6, Volume 4;
- Transmission line consultations and disclosure of impacts as part of the assets and baseline survey work – see Chapter 6, Volume 4;
- Completion of Project Land consultations and disclosure – see Chapter 6, Volume 4;
- Physical, Spiritual and Cultural Resources (PCR) consultations – see Chapter 6, Volume 4.

4.9 INTERNATIONAL, REGIONAL AND NATIONAL PARTICIPATION

4.9.1 Regional and National level consultations

At the regional level PCPD has sought to provide a forum for the exchange of information and ideas between NTPC representatives, GoL, and regional stakeholders - that is community leaders, district agencies, provincial agencies, local businesses and contractors. Since May 1996, a continual dialogue has been maintained between NTPC and the regional stakeholders. These activities have been held in the district and provincial centers, as the target audiences require. These meetings and workshops represent the implementation of Phases 1 and 2, disseminating information as it becomes available from commissioned studies, and providing a forum for discussion of issues, and concerns raised as a result. In particular, the regional program provides an additional channel to the regional stakeholders and interested parties for communication of villagers' concerns that are identified at the local level to the regional stakeholders.

The program for these workshops continues as further issues are raised and results achieved in order to promote joint problem-solving and identification of complimentary regional development goals. Documentation of the proceedings, including invitation and participation lists, handouts and presentation materials, and comments and questions raised at the meetings has been made available to the participants.

Table 4-12: Summary of PCP Events at the Regional Level

Date	Event
May 7, 1996	Pilot Public Consultation meeting for NT2 involving Provincial, District and NTPC officials. Held at Ban Sop On
May 27, 1996	Meeting of representatives from NTPC and BPKP with the Deputy Governor of Khammouane Province to discuss resettlement planning. Held in Thakhek
September 19-20, 1996	Workshop on National and NT2 Resettlement Policy and Plans. Involved Provincial and District officials, LWU and RMU. Held in Thakhek
September 30-31, 1996	Meeting on regional planning for the Public Consultation and Participation Program. Involved WB representative, NTPC, STENO, National Front for Construction, LWU, and Provincial and District Officials. Held in Thakhek
December 6-7, 1996	Consultation with Provincial and District officials to obtain feedback on NTPC commissioned studies. NTPC, STENO. Held in Thakhek
December 16-17, 1996	Workshop on the Social Effects of Powerhouse Water Release. District and Provincial officials. Held in Ban Gnommalat Neua
February 14, 1997	Follow up PCPD Workshop on the Impact of Powerhouse Water Releases. Involved village chiefs and District officials. Held in Ban Gnommalat Neua
March 12, 1997	Workshop on the Impact of Powerhouse Water Releases. Involved District officials and NTPC. Held in Mahaxai
March 20, 1997	Regional Workshop on the NT2 Project. Information briefing to Provincial and District officials. Held in Ban Gnommalat Neua
April 30, 1997	Regional Workshop on scoping and methodology for the RAP and EAMP. Held in Thakhek
June 5, 1997	Regional Workshop to discuss draft RAP, Meeting Hall, Ban Oudomsouk
June 23, 1997	Regional Workshop to discuss draft EAMP held at the Provincial Meeting Hall, Thakhek
Various workshops 2001-present (ongoing)	Regional Workshops on various issues related to resettlement, pilot village relocation, social development along the Xe Bangfai and other issues in Thakhek, Nakai, Mahaxai, Gnommalath and Laksao

National PCPD has involved an intensive program of information briefings and workshops based in Vientiane since May 1996. STEA (formally STENO) is responsible for overseeing the proceedings, as they proceed in accordance with WB Directives. The impetus for these events has largely focused on dissemination of information, and responses to three GOL commissioned studies (Study of Alternatives, Economic Analysis, and the Nakai-Nam Theun NBCA Management Plan), as well as the EAMP and the RAP. To further facilitate accessibility to information and public consultation, an NT2 Public Information Center was opened in the STEA office, Vientiane, in March of 1997. The Draft RAP of May 1997 was widely made available at the national level and was the subject of a 2-day consultation workshop in Vientiane in June 1997. Comments received on the Draft RAP are reflected in this report.

Recipients of the RAP and the EAMP reports issued by NTPC in 1998 will have opportunity to further comment and make suggestions, which will be considered prior to the final commitment to the programs contained in the reports. A national level workshop to consider the RAP and EAMP was held at the beginning of 1999 and the results were issued in a separate report, originally as an addendum to the RAP. Subsequently, these comments have been incorporated into this revised SDP.

Table 4-13: Summary of PCP Events at the National Level

Date	Event
August 25, 1995	Meeting of NTPC, STENO, DoF (District, Provincial and National), CPAWN, BPKP, WCS, to discuss logging and catchment area management of the Nam Theun Catchment
June 6, 1996	NT2 Information Briefing at NTPC office, Vientiane by David Iverach 24 attendees: including GOL ministries agencies, international organizations, NGOs, diplomatic reps, local and international media
June 12, 1996	NT2 Information briefing at NTPC office, Vientiane by David Iverach, Eric Noël and Brian McIlree 29 attendees including GOL ministries agencies, international organizations, NGOs, diplomatic reps,

Date	Event
	local and international media
July 6, 1996	NT2 Information Briefing for senior Lao women officials, Lane Xang Hotel, Vientiane NTPC Presenters - David Iverach, Loy Chansavat and Sue Downie
August 20, 1996	Nam Theun Information Briefing and Public Relations Seminar for senior members of the Ministry of Foreign Affairs Maetrachit State Guest House, Vientiane
September 28, 1996	NT2 Information Briefing to members of the Vientiane Executives Evening, Novotel Hotel, Vientiane NTPC Presenters - Brian McIlree and Loy Chansavat
November 25, 1996	Internal Consultation Workshop on NT2 Project Area Socio-Economic and Cultural Survey by CARE International
November 29, 1996	NT2 Information Briefing for a group of Thai journalists brought to Lao PDR by EGAT, Lane Xang Hotel NTPC Presenter - Loy Chansavat
December 18, 1996	NT2 Information Briefing for Lao media representatives, Lane Xang Hotel, Vientiane NTPC Presenters - David Iverach and Loy Chansavat
December 27, 1996	NT2 Information Briefing for Lao Women's Union, National Front for Construction and Lao Trade Union Movement NTPC Presenter - Loy Chansavat
January 16 -20, 1997	Field trip for Lao media to NT2 project area
January 27 - 29, 1997	First National Consultation and Participation Workshop on the three GOL-commissioned studies
Jan. 30 - 1 Feb.1997	Field trip for international media and Lao Ambassador to U.S to NT2 project area
February 1, 1997	Public release of 7 NTPC-commissioned studies relating to social, environmental and technical aspects of the Project
February 19, 1997	Half Day Public Consultation Workshop on the NT2 Project Area Socio-Economic and Cultural Survey by CARE International NT2 Public Information Center, STENO, Vientiane
February 19, 1997	Half Day Public Consultation Workshop on the NT2 Hydropower Project Forestry Report by Margules Groome Poyry
February 20, 1997	Half Day Public Consultation Workshop on the NT2 Hydropower Project Xe Bangfai Hydrology Assessment by the Snowy Mountains Engineering Corporation (SMEC)
February 20, 1997	Half Day Public Consultation Workshop on the Potential Impacts of the NT2 Hydropower Project on the Fish and Aquatic Fauna of the Nam Theun and Xe Bangfai basins by Dr Maurice Kottelat
March 21, 1997	Official opening of the NT2 Public Information Center, STENO
March 31, 1997	National Public Information Briefing on the NT2 Resettlement action Plan (RAP), Lane Xang Hotel, Vientiane
April 1, 1997	National Public Information Briefing on the NT2 Environmental Assessment and Management Plan (EAMP), Lane Xang Hotel, Vientiane
May 7, 1997	Public release of Draft Resettlement Action Plan for comments from all interested parties
May 7, 1997	National Information and Overview Briefing on the NT2 Project NT2 Public Information Center, STENO
May 7, 1997	Public release of 3 NTPC-commissioned studies on health issues
May 8 – 10, 1997	2nd National Consultation and Participation Workshop on Alternatives Study
June 2-3, 1997	National Consultation and Participation Workshop on Draft NT2 RAP NT2 Public Information Center, STENO
June 10, 1997	National Consultation and Participation Workshop on Draft NT2 EAMP NT2 Public Information Center, STENO
May 7, 1998	Resettlement Workshop, UNDP, Vientiane attended by Jean-Christophe Delvallet, Loy Chansavat and Stephen Sparkes
January 21-22, 1999	National Public Consultation and Participation Workshop on Resettlement Action Plan.
January 1999	World Bank PCPD Mission.
July 2002	Symposium “Nam Theun 2: A Window to the Future”, Vientiane This Symposium was organised in the framework of the Government's Roundtable process, in which the national development policies and strategies are consistently discussed with the international donor community. It followed the submission by EGAT of a finalized version of the Power Purchase Agreement for the project to the Thai attorney General for review. It allowed a wide range of

Date	Event
	international observers to take stock of all what has been done during the past 12 years to ensure the highest possible success for the Nam Theun 2 project implementation.
September 2004	International Stakeholders Workshops' Wrap Up, Vientiane

4.9.2 International Level Participation

National workshops and information briefings have also addressed many of the needs of the international stakeholders. Participation of the international media in the national consultation program and the local representation of many international NGOs and international aid and development organizations has ensured the Project a place in the international arena. While the WB has no specific directives on the need for international participation, project representatives have attended or participated in numerous conferences addressing international issues related to the Project.

Table 4-14: Summary of PCP Events at the International Level

Date	Event
August 21, 1996	Sustainable Development Seminar, Sydney NTPC Speaker -Dr David Iverach
September 1, 1996	Frontiers of the Public-Private Interface in East Asian Infrastructure Conference - Jakarta, Indonesia. NTPC Speaker - Mr Guido Belgiorino-Nettis
September 30, 1996	Developing the Mekong Subregion Conference - Melbourne, Australia NTPC Speaker - Dr David Iverach
March 11, 1997	Information Briefing on NT2 Project. Embassy of Lao PDR, Washington D.C. NTPC Speakers - Dr David Iverach & Mr Thomas Philippe
March 12, 1997	Information Briefing on NT2 Project. Embassy of Lao PDR, Washington D.C. NTPC Speakers - Dr David Iverach & Mr Thomas Philippe
March 13, 1997	Information Briefing on NT2 Project. UN Plaza Hotel, New York NTPC Speakers - Dr David Iverach & Mr Thomas Philippe
March 14, 1997	Information Briefing on NT2 Project. Embassy of Lao PDR, Washington D.C. NTPC Speakers - Dr David Iverach & Mr Thomas Philippe
April 10 –11, 1997	IUCN/WB Workshop on Environmental and Social Impacts of Large Dams - Gland, Switzerland NTPC Participants - Dr David Iverach and Mr Thomas Philippe
July 3, 2002	'Symposium on NT2 Window to the Future' organized by the GOL linking the development of national policy and strategies and international donor community concerns and issues
August 2002	Submission by GOL of a draft National Poverty Eradication Programme (NPEP) to the Donors on the occasion of the UNDP-led Donor Round Table Meeting (RTM) in Vientiane, presenting NT2 as a cornerstone of the country's development
May 2003	On the occasion of a mini-RTM, presentation of a second draft of the NPEP emphasizing again the critical importance of NT2 for the country's development and presenting elements on how the Project's revenue to the GOL will be used for poverty alleviation in the country.
August-September 2004	International Workshops in Bangkok, Tokyo, Paris and Washington DC attended by Sponsors (EdF and EGCO), NTPC management, technical staff and consultants. Participants in these workshops included WB, ADB and Agence Francaise de Development, international NGOs, foreign governments, potential donors and other interested parties.

4.9.3 Comments and Concerns Raised at 2004 International Workshops

The goal of the international workshops held in Bangkok, Tokyo, Paris and Washington DC (August 30-September 10, 2004) was to allow international stakeholders, including NGOs, governments and donors, to voice their opinions and concerns in relation to the current plans and to incorporate any relevant concerns. A number of presentations were made specifically on project impacts, mitigation, the consultation process and social aspects. Many questions, queries and opinions were expressed during the discussions on a wide range of issues. Table 4-15 below summarises the concerns and issues raised that are related directly to aspects of the SDP. Full records from the international workshops are available in the moderators' reports and news releases that have been produced for each of the workshops.

Table 4-15: Some SDP related Concerns and Issues raised during the 2004 International Workshops (non exhaustive).

Concerns and Issues	Organisations	Responses
Many promises made by donors and government for the Pak Mun project in NE Thailand were not fulfilled and affected persons were not properly compensated.	Terra, Thailand and Representatives of Concerned Groups for Pak Mun.	The Concession Agreement is legally binding for the company and government with income targets. The consultation process is more transparent and involves all stakeholders. (NTPC) GoL invited representatives of Thai villagers affected by dam project in Thailand to attend the Vientiane Workshop and to visit the site. (GoL)
Fisheries impacts may have not been sufficiently studied in particular for the downstream Xe Bangfai area and tributaries	Terra and Independent experts, Thailand	Comprehensive studies of the Project impacts on the fisheries have been undertaken. The Project is committed to properly compensate the affected people living along the affected portion of the Xe Bangfai as well as those living in the hinterland, and who also rely on the Xe Bangfai for fisheries.
Not enough time was given to review the documents prior to the workshop.	Friends of the Earth, Japan	The documentation is extensive but was posted on the web from May 2004 onwards and earlier versions have been available since 2002. Further opportunities for comments will be available during the appraisal process.. (NTPC)
Logging on the Nakai Plateau has degraded the environment and affected the livelihoods of the people there from 1996 onwards. (Photographs of logging shown)	Mekong Watch, Japan	Logging was undertaken on the Plateau since the mid-1980s but was discontinued in 1999. The WB has had two full reviews and concluded that there has been no logging in the community forest areas or in the NBCA. (NTPC and WB)
Concerns about the livelihood model. 1) How will the resettlers be able to grow rice? 2) Where are the markets for cash crops? 3) Where are the grazing areas located?	Japan Volunteer Centre	1) Villagers have decided to stay on the Plateau and this has implications for their livelihoods. Resettlers are not encouraged to grow rice since it is not economic but the cultural importance of rice and food security are recognised. However, in the long-term, alternative crops on irrigated terrace will be developed. (NTPC) 2) Studies are being carried out at present in order to identify the best cash crops for commercial markets in the region. (NTPC) 3) Buffalo is a real issue for income and social status that Project is committed to manage by considering the following facts: Buffalo are to graze in the drawdown zone of the reservoir and in the resettlement zone. (NTPC)
Concerns about openness: 1) how is the monitoring going to be carried out in an open and transparent manner? 2) What is the NGO situation in Lao PDR? 3) What is the recourse if funding is inappropriately used or if there is mismanagement of the WMPA?	Novetic, France	
Project cost unclear and there is inconsistency in the data as presented in the report: 1) Surface inundated unclear (650 or 450 ref. SESIA?) 2) Number of people to resettled unclear (5,700 -6,200) Number of people affected downstream unclear (40,000 – 150,000) 3) Livelihood options have not been sufficiently tested and this involves a high risk for the plan. 4) Request full disclosure of PPA and CA for public review.	Friend of the Earth, France	1) Maximum or full supply level (538 masl.) will be 450 sq km. and references to 650 sq km. will be removed. (NTPC) 2) The number of people to be resettled is estimated based on population surveys and projected numbers. The present estimate is 6,200 people, which includes Project Construction Lands. (NTPC) 3) Livelihood options have been tested and developed since 1996 in the demonstration farms and later in the pilot village. (NTPC) 4) Relevant sections of the CA are already public documents and included in the SDP as an appendix. A summary of the PPA is also presented. (NTPC)
1) What the studies/reviews available on alternative fisheries for XBF and future fish stocks in the reservoir? 2) What is the relation to WCD?	World Wildlife Fund (WWF), France	1) Reports (experiences) from Nam Ngum and Ubon Rattana reservoirs form the basis for the analysis of reservoir fisheries and is presented in Ch. 24. XBF fisheries is still being analysed and will be completed before appraisal. (NTPC) 2) The WCD Report does not have any legal status but is a document that has been considered useful by donors and planners for hydropower. Lessons learnt and recommendations have been considered in the revision of safeguard documents. (WB/ADB)
Concerns about the sustainability of the resettlement plan in relation to buffalo grazing and land use.	Dutch NGO	

Concerns and Issues	Organisations	Responses
Nam Ngum fisheries experience has shown that it is necessary to exclude outsiders in order to ensure benefits to the local people.	CNRS	The reservoir fisheries association intends to ensure that benefits reach affected communities. A decree will give exclusive rights to resettlers. (NTPC)
Monks should participate in the social development of the Nakai Plateau	French Friends of Laos Association	Cultural and religious concerns will be taken into account during the resettlement and there are provisions for improving existing temples and establishing new structures at the new sites. (NTPC)

There are a number of important issues that were raised during the discussions at the workshops and the following aspects will be acted upon in order to enhance existing plans and initiatives:

- Organising of visits by concerned groups from Pak Mun in order to allow open discussions and interaction between affected persons from NE Thailand and NT2 project affected persons – the aim would be to allow the exchange of information and improve resettlement plans;
- Completion of studies on markets for agricultural produce and starting additional studies in order to obtain a better understanding of potential markets for cash crops in the region and ensure income for resettlers;
- Inconsistencies in the document regarding population figures, reservoir size and other aspects in the SDP, SEMFOP-1 and SESIA, will be made clear;
- Completion of analysis regarding fisheries for the NT2 reservoir and XBF downstream;
- Enactment of a decree which will clearly ensure that the land and forest resources of the resettlement area, and the fisheries resources in the reservoir, are for the exclusive use of the plateau resettlers; and
- Further investigation of potential to raise buffaloes in the resettlement areas and drawdown zone.

More generally, the workshops allowed the GoL and NTPC to better assess the general opinion on, and the level of preparedness of, the Project's social plans. It also emphasized the need for continuous monitoring during the implementation period.

4.9.4 Integration of Comments raised by International Reviews

Table 4-16 presents some of the most important aspects raised by a number of reviews by international bodies and consultants. These include issues raised during the annual missions by the Panel of Experts (POE). A full presentation of comments raised by the POE and the International Advisory Groups is given in Appendix E in Volume 1 of the SDP.

Table 4-16: Project Responses to IAG, POE and Other International Reviews of Social and Resettlement Documents and Plans.

Issues Raised	Integration into Project Development
International Advisory Group	
Resettlement activities should commence ASAP (possibly under a Pilot Village), and not be further delayed by overall Project delays	NTPC has committed to proceeding with the resettlement of a Pilot Resettlement Village.
Panel of Experts visit 2	
Incentives should be developed for out-migration of NBCA population to stem pressures of population growth	GOL has decided not to encourage out-migration as such, but rather a combined program of (a) in-situ livelihood development program developed to help reach a sustainable level of development in the NBCA without threatening the biodiversity of the area, (b) discouragement of in-migration to resettlement areas that could threaten the initial success of the resettlement program, and (c) develop family planning to manage population growth.
Bussing of labour for Dam Construction	EAMP (Chapter 6) addresses potential environmental and social impacts of construction workers and spontaneous settlement population by adopting this approach and thus relocating the work camps to less sensitive areas.
More socio-economic surveys and pioneering planning for the middle and lower Xe Bangfai	The Concession Agreement outlines plans to conduct baseline and subsequent socio-economic and health surveys of villages located along the Xe Bangfai. The SDP details plans for these socio-economic surveys and for other studies of specific issues relating to the NT2 Project and the XE BANGFAI.
Panel of Experts visit 3	
RAP can be used as an incentive for	NTPC recognizes the potential for Nakai Plateau resettlement experience to

Issues Raised	Integration into Project Development
population movement out of the NBCA	act as an incentive for NBCA communities to relocate there, however this will only be considered once the Plateau Resettlers are established and the RAP has proved successful.
Panel of Experts visit 4	
Social and Environmental expertise required for the Project be identified and developed without delay	NTPC has strengthened its capability on and expertise in terms of social and environmental planning and Management. The Concession Agreement allocates considerable funding for the hiring of TA and the development of local expertises, as part of the RMU and EMU.
Monitoring program of current fish migrations and fishing activities be initiated by the 1999-2000 dry season at the latest	A Xe Bangfai Fisheries CPUE is ongoing, and more are planned.
World Bank PCPD Review by Barbara Franklin (1997)	
A Senior Full-Time Social Scientist is required for PCPD Planning and Management	A Social Specialist has been involved in PCPD Team training and developing a PCPD plan, and will continue, with a full time appointment for the Phase 2 consultation process, and the relocation period.
Village facilitators need to be identified and smaller group discussions pursued for better representation of stakeholders	In the Plateau villages, Village Resettlement Committees have been formed to coordinate village activities and continue village consideration and planning for resettlement for integration into the RAP. Focus group discussions and individual interviews with villagers are ongoing in order to identify further village facilitators. PCPD techniques incorporate small group discussions to ensure representation of all gender, ethnic and generational groups
PCPD Teams should be ethnic and gender representative of the stakeholder populations	PCPD Teams have always comprised ethnic - Brou, Lao Kaleung, Phu Thai and sometimes Vietic - and women groups.
Messages and materials need to be developed more specifically for target audiences	Extensive planning has produced materials that are targeted for the various stakeholders, in particular posters, pictures, diagrams, drawings, videos and other means to take account of the literacy levels of the populations.
PCPD Teams require further training	In advance of the 1998 PCPD program, the Senior Social Scientist gave training in participation techniques in 1997 and 1998. Further training is proposed for the RMO and RMU teams, and others involved in the resettlement process.

4.10 DISCLOSURE – PHASE 3 OF THE CONSULTATION PROCESS

4.10.1 Main stages of Disclosure

The continued process of consultation is key to the finalisation of the social and resettlement safeguards documents and implementation plans. At various key stages in this development, documents have been released to the general public for comments and translations have been made into Lao and Thai. The following sections of what has now become the SDP were released to the public or posted on the NTPC Internet site prior to 2004. This includes several earlier versions of the SDP (then called the Draft Resettlement Action Plan) released in May 1997 and subsequently at the beginning of 1999 (1998 version of the RAP), was available as a hard copy and via electronic mail.). Other reports on local consultations and reviews and evaluations related to various social aspects of the project.

4.10.2 Disclosure prior to Appraisal

For the period prior to Appraisal, consultations will be ongoing regarding detailed project planning. This will occur at three levels and at each level the appropriate documents will be made public.

Local level: The consultation at the local level will primarily be conducted by recurrent, interactive workshops and presentations, backed up by the provision of translated summaries of sections of the RAP and EMDP in Lao, and the placement of posters illustrating expected project impacts. The main groups of PAPs to be consulted are (i) plateau resettlers, (ii) villagers along the Xe Bangfai, and (iii) villagers with assets under Project Lands.

National: This includes consultation with national NGOs and mass organizations; GoL authorities involved with the implementation activities and other GoL stakeholders, as well as the general public. This has been done primarily by workshops and presentations with translations of summaries of the available documents. For the GoL organizations involved with implementation (including STEA who reviews and clear the documents for GoL) there has been interactive reviews and training processes, along with the

distribution of operational manuals for Project implementation based on the Concession Agreement and Safeguards documents.

International: This has included consultation with donors, international NGOs, and Thai stakeholders. It involved several public meetings (in Vientiane, Bangkok, Tokyo, Paris, and Washington). Prior to these events, the English form of the advanced draft version of supporting safeguards documents and summaries/extracts of major contracts were made available, along with a Thai and Japanese versions of the summary safeguard document (SESIA), on the Project website www.namtheun2.com.

Updated documents or sections of documents will continue to be posted on this website, as they become available.

4.10.3 Disclosure at Appraisal

In order to meet the requirements of the disclosure policy, the documents, revised based on the consultations above, will be made available to all project stakeholders before appraisal and a full 120 days before board of directors consideration for approval (to meet the US ED requirement). At this time the GoL implementers (including STEA who will review and clear the document) will have a full translation of the revised document. The disclosure for the local project affected people will be done through an information and outreach program, and making the Lao documents available to them. The remainder of the groups will be provided a full revised version of the document in the appropriate language.

4.10.4 Revision and final Disclosure for implementation

After appraisal and board approval, any required revisions will be made to project planning documents, and then these documents will be made available to the various stakeholders. Of particular importance is the GoL implementers and the project affected people who will be given a full Lao translation. The project affected people will also have the services of an information and outreach program available to them. The remainder of the groups will be provided a revised full version of the document in the appropriate language.

Table 4-17: Indicative and Summary Schedule of Consultations Leading to Disclosure

	mth 1	mth 2	mth 3	mth 4	mth 5	mth 6	mth 7	mth 8	mth 9	mth 10	mth 11	mth 12	mth 13	mth 14
ACTIVITY	April-04	May-04	June-04	July-04	Aug-04	Sept-04	Oct-04	Nov-04	Dec-04	Jan-05	Feb-04	Mar-05	Apr-04	May-05
<u>SDP drafting and issuance</u>														
Completion of advanced draft of SDP														
Completion of Appraisal draft of SDP														
<u>National and International Consultations</u>								Appraisal				Board		
Translate summary safeguard docs	60 days							↓				↓		
Reading period for document			60 days											
Public meetings					60 days			↓						
Interactive review by GoL.					120 days									
<u>Local Consultations</u>														
Plateau Consultations (1st Round)														
Plateau Consultations (on-going)														
Xe Bangfai Consultations (1st Round)														
Xe Bangfai Consultations (on-going)														
Project Lands Consultations (on-going)														
<u>Disclosure, Review and Clearance</u>														
Revision and translation of documents								60 days						
Disclosure of documents									120 days					
GoL review and clearance										30day				
WB/ADB review and clearance											30day			
POE review and clearance										30days				
Revision for implementation											60 days			

4.10.5 Public Information Dissemination to the General Public

Table 4-18 presents the main stakeholder groups, or audiences, who will participate in the final consultation and disclosure process for social and resettlement documents and plans, ranging from local PAPs, GoL stakeholders and implementers, national organisations, the general public and the international audience. Table 4-18 also indicates the general type of consultation and disclosure to be undertaken with each audience, ranging from information and outreach programs with local PAPs to the provision of full English, and full or summary Lao translations of all relevant documents.

Past Activities (mostly since June 2002 and conducted jointly by GOL and NTPC) were aimed at developing general Public awareness of the Project and its role to alleviate poverty in Laos. A major Symposium was organized in Vientiane on July 3, 2002 by GOL, numerous site visits were conducted for diplomats, media and NGO communities, the Project website (www.namtheun2.com) was updated, GOL website was created, and various communications supports (brochures, leaflets and news releases on various topics) were produced and widely distributed. Such public awareness strategy will continue with the following activities:

4.10.6 Information Centres

Information Centres will be established in defined location of the various project affected areas as well as in Vientiane to promote information exchange from the earliest stages of the project implementation. A first Information Centre and Forum will be established in NTPC's Vientiane office in early 2005, displaying safeguards documents in English and summaries in Lao language, a Project small-scale model, and a video.

Two other Information Centres including discussion Forums will be established in Thakhek, and Nakai. To assist in the implementation of such information centres and forum in these areas more directly affected by the project (in particular Nakai Plateau), the Lao Women's Union (LWU) will play a decisive organizational role as it is probably the key grass-roots level information network immediately available in the Lao PDR. Their active involvement in the establishment and day-to-day functioning of these centres will be aiding information flow between villagers and the project authorities.

With information flowing to the Project managers and their consultants, more timely management of emerging issues will then be effected. Feedback from Project to communities will also be facilitated through the LWU and the provincial authorities. Other than the LWU, key provincial and district officials and key villagers / local organizations will be identified to serve as the junction between the Project and the PAP, through Information Centres and Forums. These permanent Centres and Forums will be established just after the completion of village-by-village Disclosure and Consultations.

4.10.7 Mass media

A permanent and regularly updated diffusion of messages is made through the Project website (including a newsletter, the photo description of site works progress, news releases, etc.) so that any new comer / journalist can actually gain appropriate knowledge on the Project in a record time. Key messages are diffused to the media via NTPC's designated spokespersons through press, radio or TV interviews and reports. In addition, several key media have been identified and will be regularly updated with the Project progress. These are:

- International agencies: AFP (Hanoi office), Reuters (Bangkok Office)
- Thai press: Bangkok Post, The Nation (Thai and English editions)
- Lao agencies and press: KPL, Vientiane Times
- Radio: Radio Free Asia, Voice of America
- TV: BBC, TV5, NHK
- Others

Table 4-18: Summary of Disclosure as Relates to the Different Stakeholders

Document	Audience					
	Project Affected People	GoL Stakeholders	GoL Implementers	National Public, NGOs and mass organizations	International Stakeholders (donors, NGOs)	Thai Stakeholders
Phase 2: Information dissemination and consultation prior to WB/ADB appraisal						
SDP	Presentations; translations of summary	Full English version; Translations of summary; workshops; presentations.	Full English version; Translations of Summaries; workshops; training.	Full English version; Translations of summaries; public meetings; workshops; presentations.	Public meetings; Full English version.	Full English version; Thai summary.
Baseline Studies (PCRS, Fisheries etc)	NA	Full English version; Translations of summary; workshops; presentations.	Full English version; Translations of Summaries; workshops; training.	Full English version; Translations of summaries; public meetings; workshops; presentations.	Public meetings; Full English version.	Full English version; Thai summary.
Phase 3: Disclosure by Appraisal						
SDP	Information and outreach program; Full Lao translations	Lao summaries	Lao summaries	Lao summaries	Full English version	Full English version; Thai summary
Baseline Studies (PCRS, Fisheries etc)	Lao summaries	Lao summaries	Lao summaries	Lao summaries	Full English version	Full English version; Thai summary
Final revision For Implementation						
SDP	Information and outreach program; Full Lao translations	Lao translations or appropriate chapters and/or sections	Lao translations or appropriate chapters and/or sections	Lao translations or appropriate chapters and/or sections	Full English version	Full English version; Thai summary
Baseline Studies (PCRS, Fisheries etc)	NA	Lao summaries	Lao summaries	Lao summaries	Full English version	Full English version; Thai summary

4.10.8 Project video documentaries

Using digital technology and sophisticated editing and simulation tools, a 20 minutes comprehensive overview (including technical, social, environmental aspects) of the project has been prepared in January 2004. It has been used as a basic support for project general presentation in the project Information Centres. A 5 minute video summary and separate technical simulations has also been produced in formats easily up loadable for the Project website.

Video documentary of the 2004 local consultations on the Nakai Plateau and along the Xe Bangfai have also been prepared, picturing some various sessions of discussion among villagers on a random basis, and describing the overall process and principles used for the transparent, balanced and meaningful consultations with PAPs.

4.10.9 Translation

Because of the international, multi- stakeholder and somewhat complex nature of the project, all documents have been originally drafted, reviewed and revised in English. However, while key GoL counterpart to the project developers can work in and read English, many GoL staff, and certainly most, if not all, local villagers cannot. Thus, translation of all relevant extracts from the project safeguard and social and resettlement documents, a full translation of Schedule 4.1 of the Concession Agreement, and the production of adapted communications materials such as power point presentations, manuals for local facilitators and posters have been crucial features if the consultation and disclosure process.

4.11 INSTITUTIONAL ARRANGEMENTS FOR LOCAL LEVEL PCPD

The GoL and NTPC have, and will continue to work together for the public consultations and disclosure process, with the NTPC providing technical and managerial support as required. The World Bank and ADB also assist by the provision of loans and assistance to engage experts in the fields of participatory consultation.

GOL

The earlier Phase 1 consultations (1997-98) were led by the GoL's RMU with the assistance and input from NTPC Consultants. On the downstream area, and due to the large number of villages, the GoL formed teams to visit each village for consultations. These teams were composed of staff from each district's Resettlement Working Groups, and staff engaged especially for the consultation process. They were given training in PRA by NTPC hired experts. On the plateau, the RMU took the lead role, with some support from Nakai DRWG staff. NTPC provided the short-term services of a social scientist.

The 2nd Phase of consultations in mid-2004 have been led again by the GoL who has now formed its own Public Consultations team, with independent international (regional) consultants engaged to provide training and facilitation. This unit is managing the local level consultation and disclosure process, and assist the District level staff to form teams to working in villages. As required, the District units will also ensure the technical assistance in areas relevant to the PAPs, such as rural livelihoods, health care and community development. Thus, the composition of teams will be flexible, combining the experience and knowledge of those who have already been involved in PCPD with new expertise.

Village facilitator teams

However, this 2nd Phase saw the main institutional focus shift from NTPC and GOL to the village. Village consultation teams have been formed and these not only conducted the initial round of Phase 2 consultations, but will continue to be the facilitators for the ongoing consultation both on the plateau and along the Xe Bangfai.

One conclusion of the earlier consultation experiences was the need for a representative body at the village level that would work with district government organisations and line agencies, RMU and various experts and advisors at the local level. It was decided by project planners that the composition of this group should reflect the various interest groups at the local level and thus aim to ensure that all stakeholders would be represented. One important task of the First Round of the 2004 Consultations was to obtain agreement at each village for the selection of this body of 10 persons. The general composition consists of the following elements and balances:

- Village Leaders and traditional leaders (formal and informal leadership balance)
- Male and female members (gender balance)

- Elderly, middle-aged (able-bodied adults) and youth members (age balance)
- Members of all ethnic groups (ethnic/language balance)
- Members with good communication skills and illiterates (education balance)

Groups of village facilitators were selected and then immediately trained to perform their first task, that is consultations about the NT2 project following one-day of training, and under the supervision of Consultation Experts in both Nakai Plateau and Xe Bangfai villages.

NTPC

The NTPC has also formed a team of national and regional level consultations officers, to liaise with, support, and where necessary provide training and actual assistance in the field, to the GoL PCP teams. A crucial role of NTPC's RO is to coordinate and ensure that GoLs PCD Unit is provided with, and understands, the full range of information relating to the NT2 project, especially resettlement and compensation aspects as relevant to the PAPs in the various zones of the project. Due to the relatively complex nature of the NT2 project, achieving a full understanding of the project, its impacts, and the resettlement and compensation strategies, is a challenge.

In addition, the NTPCs PCD team will be primarily responsible - in close cooperation with the RMU - for the production of posters, maps and photos and translation, facilitation manuals and any other consultation materials and tools. The NTPC PCD staff will also assist the field teams to develop strategies and working methodologies.

Notwithstanding the above general institutional arrangement, the actual responsibilities for, and content of, any particular consultation and disclosure depends on the timing and the target audience. Table 4-19 below outlines the institutional arrangements for the previous conduct of the Phase 1 consultation process, and Table 4-20 outlines the proposed sharing of institutional responsibilities for the management and implementation of the ongoing (Phase 2) consultation and disclosure (phase 3) process.

Table 4-19: Institutional Arrangements for Phase 1 PCDP at Each Level

Level	Institutional Arrangements	Comments
National	Resettlement Committee (RC) headed by the Director of Rural Development Committee at the State Planning Committee (under the Vice-PM) Composition: Governor of Khammouane Province is the Chairman, other appointed members.	Responsible for policy and legal framework, ensuring the RAP is carried out according to schedule and budget, and co-ordination of GoL agencies
National	STEA	Responsible for overseeing policy and regulations at the national level and for coordinating monitoring
National	LNF	Responsible for overseeing all issues related to ethnic minorities
National	NT2 Office and NTPC Composed of PPCP facilitators and international and national technical experts	Responsible for information dissemination, coordination of consultations, reporting and quality control
National and Local	Resettlement Management Unit (RMU) Composed of National, Provincial and District representatives Appointed positions by GOL	Responsible for day to day management of resettlement activities in all project areas
District	District Resettlement Working Groups (DRWGs) Composed of relevant district personnel and technical support staff Members seconded from GOL representatives at the District Level	Responsible for linkages between resettlement activities and village organizations Workshops and training ongoing by NTPC and international and national consultants
District and Local	Lao Women's Union (LWU) Representatives at the Provincial and District levels appointed by GOL Local LWU members elected by villagers LWU represented in RMU, DRWGs and VRCs	Responsible for linkages between resettlement activities and women's concerns Workshops and training ongoing by NTPC and international and national consultants
Local	Village Resettlement Committees (VRCs)	Responsible for carrying out resettlement activities such

Level	Institutional Arrangements	Comments
	Composed of elected members of the village GoL	as village layout, organizing the actual relocation and monitoring the progress of the livelihood scenarios Workshops and training ongoing by NTPC and international and national consultants
Local	10 Village Facilitators Composed of a balance of leadership, gender, ethnic groups, age and skills/education	Responsible for carrying out consultations and representing a diversity of interests at the local level, as well as acting as intermediaries between formal leadership and organisations and the affected people.

Table 4-20: Indicative Staffing Plans for Phase 2 Consultation Activities

NTPC – 4 staff	RMU – 3 staff	District WGs – 14 permanent staff (teams formed as required, from District agency staff)
1. Consultations Manager	PAP Consultations Manager	Nakai PCD team: 2 people (permanent)
2. Plateau Consultations Assistant	Materials Development Officer	Gnommalat PCD team: 2 people (permanent)
3. Xe Bangfai Consultations Assistant	Consultations Officer	Mahaxai PCD team: 2 people (permanent)
4. Project Lands Consultations Assistant	TA – Consultations Expert(s) supported by ADB and WB	Xe Bangfai PCD team: 2 persons (permanent)
5. TA – Ethnic Consultation and Development		Nong Bok PCD team: 2 persons (permanent)
		Xaibouly PCD team: 2 persons (permanent)
		Khamkeut PCD team: 2 persons (permanent)

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Annex 4-1: List of Documents of the 1st Phase of PCPD, Available in the NTPC Library**Public Meetings & Reports - at National level**

- 1 NTEC-commissioned studies, NT2 Public Info Centre, STENO, Feb 19-20, 1997
- 2 The RAP and EAMP, Lane Xang Hotel, Vientiane, March 31 - April 1, 1997
- 3 Alternatives Study, E & S Action Plan for NBCA, Economic Impact Study, 7-12 July, 1997
- 4 Meeting to review the Draft EAMP, June 18-19, 1997
- 5 Meeting to review the Draft RAP, June 2-3, 1997
- 6 Alternatives Study, E & S Action Plan for NBCA, Economic Impact Study, 27-29 Jan, 1997
- 7 Fish & Aquatic Fauna, Xe BangFai Hydrology Assessment, Forestry on Nakai Plateau, February 19-20, 1997
- 8 Information briefing on Proposed NT2 Project by STENO at the PIC, Vientiane, March 28, 1997
- 9 Second National Workshop on NT2 Studies by STENO, Vientiane, May 8-10, 1997
- 10 National Workshop on Final RAP, January 21-22, 1999
- 11 National Workshop on Draft Final EAMP, November 22-23, 2000
- 12 National Workshop on HIA - NT2 Case Study, 24-27 April 2003

Public Meetings & Reports - Regional

- 1 The RAP for the NT2 Project, Nakai District, Khammouane, 5 June 1997
- 2 EAMP for NT2, Thakhek, 23 June 1997 (Lao language)
- 3 Information briefing on NT2 Hydroelectric Project, Gnommalath District Hall, Khammouane, 20 March 1997

Village Consultation & Participation

- 2 Team 1, Gnommalath District, Khammouane Province, 22-28 May 1997, then 25-30 April 1997
- 4 Team 1, Thakhek & Xe Bangfai District (Kammouane), Xayabouli District, Savannakhet, 5-16 May 1997
- 5 Team 2, Gnommalath & Mahaxai Districts, Khammouane Province, 25-30 April, the 22-28 May, 1997
- 7 Team 2, NongBok & Xe BangFai District (Khammouane), Xayabouli District, Savannakhet, 5-16 May 1997
- 8 Team 3, Gnommalath & Mahaxai Districts, Khammouane Province, 22-18 May, 1997
- 9 Team 3, Mahaxai District, Khammouane Province, 25-30 April, 1997
- 10 Team 3, NongBok & Xe BangFai District (Khammouane), Xayabouli District, Savannakhet, 5-16 May 1997
- 11 Team 4, Gnommalath & Mahaxai Districts, Khammouane Province, 23-28 May, then 25-30 April, 1997
- 13 Team 4, NongBok & Xe BangFai District (Khammouane), Xayabouli District, Savannakhet, 5-16 May 1997
- 14 Team 5, Mahaxai & Nakai Districts, Khammouane Province, 6-9 April, 1997
- 15 Team 5, Mahaxai District, Khammouane Province, 22-28 May then 25-30 April 1997
- 17 'gong paxum breuksabaleu lae khaobouam khong mouanxon ladub Thongthin', Gnommalat, 20 March 1997
- 18 Consultation with villages in the area of the Transmission Line Corridor, Savannakhet, 10-13 February, 1997
- 19 Public Consultation and Participation on the DC & Transmission Line in Gnommalath, 25-30 April, 1997
- 20 Public Consultation and Participation on the Nakai Plateau, Stephen Sparkes, July 1998
- 21 Public Consultation, Participation on the Nakai Plateau (Forms & Photos #1), Stephen Sparkes, July 1998
- 22 Public Consultation, Participation on the Nakai Plateau (Forms & Photos #2), Stephen Sparkes, July 1998
- 23 Village Consultation & Participation on Resettlement and Livelihood Issues, Nakai Plateau Team 1 + Team 2, Nakai Neua, Nakai Tai & visited Theun Douane, Nakai District, 1-8 June, 1997

Public Meetings & Reports - at National level

- 24 Public Disclosure and Consultations on Xe Bangfai 1998

Other Reports

- 1 Comments & Questions received from Public Consultation & Participation Events related to NT2, 1/06/97
- 2 Development of Stakeholder Relationships - an Overview, with particular reference to role of public consultation in Laos, July 1997
- 3 Review of Local Public Consultations for NT2, Draft, Barbara Franklin, July 1997
- 4 Review of Local Public Consultations for NT2, Final, Barbara Franklin, September 1997
- 5 Training in Participatory Rural Appraisal - NTEC, Laos - Project Completion Report Manidis Roberts International, 28 March - 11 April, 1997
- 7 Workshop/Executive Seminar on Environment/Social Impact Assessment and Public Participation for Electricity Generation Projects, ESCAP Secretariat, UNDP, Bangkok, 20-24 November, 1997