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CHINA HUADIAN ENGINEERING CO., LTD.

China Huadian Engineering Co., Ltd

Stakeholder Engagement Plan, Including Community and Worker Grievance Mechanisms

Huadian Dak Lak Wind Power Project, Dak
Lak Province, Vietnam

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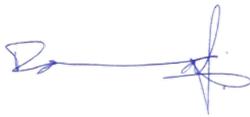
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Stakeholder Engagement Plan, Including Community and Worker Grievance Mechanisms

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Acronyms and Abbreviations

Abbreviation	Definition
AIDS	Acquired Immuno Deficiency Syndrome
AIIB	Asian Infrastructure Investment Bank
CEIU	Evaluation and Integrity Unit
CGM	Community Grievance Mechanism
CPC	Commune People's Committee
CSOs	Civil Society Organisations
CSR	Community and Social Responsibility
DPC	District People's Committee
E&S	Environmental and Social
EHS	Environmental, Health and Safety
EIA	Environmental Impact Assessment
EP	Equator Principles
EPC	Engineering, Procurement and Construction
EPP	Environmental Protection Plan
ERM	Environmental Resources Management
ESF	Environmental and Social Framework
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
ESMR	Environmental and Social Monitoring Report
ESP	Environmental and Social Policy
ESSs	Environmental and Social Standards
FGD	Focus Group Discussion
FPIC	Free, Prior and Informed Consent
FPICon	Free, Prior and Informed Consultation
FS	Feasibility Study
GRMs	Grievance Redress Mechanisms
H&S	Health and Safety
HIV	Human Immunodeficiency Virus
HR	Human Resources
HSSE	Health, Safety, Social and Environment
IAM	Independent Accountability Mechanism
IAP	Interested and Affected Parties
ICP	Informed Consultation and Participation

Abbreviation	Definition
IFC	International Finance Corporation
IP	Indigenous People
JSC	Joint Stock Company
JSC	Joint Stock Company
KII	Key Informant Interviews
LFDC	Land Fund Development Centre
LGBTI	Lesbian, Gay, Bisexual, Transgender and Intersex
MAP	Management Action Plan
MDB	Multilateral Development Bank
NGOs	Non-Government Organisations
NHRIs	National Human Rights Institutions
O&M	Operation & Maintenance
PPC	Provincial People's Committee
PPI	Policy on Public Information
PPM	Project-affected People's Mechanism
PPQ	Project Processing Query
PS	Performance Standards
PSI	Project Summary Information
RCR	Request for Compliance Review
RDR	Requests for Dispute Resolution
SEP	Stakeholder Engagement Plan
WGM	Worker Grievance Mechanism
WPP	Wind Power Project
WTG	Wind Turbine Generator

1. INTRODUCTION

1.1 Stakeholder Engagement

1.1.1 Overview

Stakeholders are those persons or organisations interested in, capable of influencing or affected by, the proposed development, involved in highlighting opportunities, risks and issues of concern. Stakeholder engagement includes proactive communication with the public and other stakeholders through effective consultation and disclosure that is an integral part of project development. Engagement, therefore, assists the Project team in taking into account locally relevant conditions and opinions rather than imposing incompatible designs onto an environment that is potentially socially and environmentally sensitive.

All national requirements, Asian Infrastructure Investment Bank (AIIB) Environmental and Social Policy (ESP) and Environmental and Social Standards (ESSs), International Finance Corporation (IFC) Performance Standards (PSs) (2012) and Equator Principles (2020), listed in Section 2, highlight the need for on-going and appropriate communication between the Project developer and any interested or affected parties which can be defined as stakeholders through all stages of a Project's lifecycle.

1.1.2 Objectives

The objectives of stakeholder engagement are to:

- Identify all the interested and affected parties (IAPs) of this project;
- Distribute accurately this Project information to IAPs;
- Identify the interests, concerns and needs of IAPs;
- Seek input from IAPs in the project planning process;
- Manage IAPs' expectations;
- Provide feedback to IAPs on how their concerns and needs are addressed in the ESIA process;
- Form partnership to promote constructive interaction amongst all parties; and
- Fulfil national and international requirements for consultation.

This Stakeholder Engagement Plan (SEP) serves as a living document detailing stakeholder mapping and engagement undertaken during the Environmental and Social Impact Assessment (ESIA) development. This report also describes the way in which the Project Owners will handle any Projects' related concerns or grievances. This version of the SEP is an initial guide to future engagement and will need to be updated periodically to ensure on-going stakeholder engagement through various stages of the Project's life cycle from construction to operation and commissioning.

1.2 Project Background

The China Huadian Engineering Co., Ltd (hereinafter as "Sponsor" or "CHEC"), who was founded in 1978 is developing the Huadian Dak Lak Wind Power Project (hereinafter as "the Project") located in Krong Buk District, Dak Lak Province with total capacity of approximately 200 MW. The Project comprises of four sub-projects known as Krong Buk 1 (KB1), Krong Buk2 (KB2), Cu Ne 1 (CN1), and Cu Ne 2 (CN2) located in Cu Ne, Cu Pong, Ea Sin, Chu Kbo Communes. In order to manage and operate these subprojects, the Sponsor established four different project subsidiary companies (individually referred to as the "Project Owner" or collectively as the "Project Owners", which are described in Table 1.1.

Table 1.1 Sub-Projects and Subsidiary Companies

No.	Project	Subsidiary Companies
1	Krong Buk No.1 Wind Farm (hereinafter as “KB1”)	Krong Buk New Energy Investment Company Limited
2	Krong Buk No.2 Wind Farm (hereinafter as “KB2”)	Krong Buk Wind Energy Company Limited
3	Cu Ne No.1 Wind Farm (hereinafter as “CN1”)	Cu Ne Renewable Energy Investment Company Limited
4	Cu Ne No.2 Wind Farm (hereinafter as “CN2”)	Cu Ne Wind Energy Investment and Management Company Limited

Source: China Huadian Engineering Co., Ltd, 2021

With the rapid growth of energy demand and global trend of searching energy sources that reduce greenhouse gas emission, the Vietnam Ministry of Trade and Industry (“MOIT”) issued a “National Power Development Master Plan (PDP) VII” for the period 2021 – 2020, with a vision to 2030 under *Decision No. 428/QD-TTg* dated 18 March 2016 of the Prime Minister. Specifically, the Master Plan will prioritise renewable energies (wind energy, solar energy, and biomass energy), so as gradually increase the proportion of electricity generated from renewable energy sources. The targets set in PDP VII aims to increase the share of renewable energies to around 7% by 2020 and over 10% by 2030 and reduce the use of coal-fired energy source to ensure energy security, global warming reduction, environmental protection and sustainable social-economic development. On 25 June 2020, the *Dispatch No. 795/TTg-CN* listed four wind projects (KB1, KB2, CN1, and CN2) as an amendment to the National Power Development Plan.

In order to implement the national strategy of power development and provide opportunities to developers or investors to develop renewable grid-connected electricity production projects, Ministry of Industry and Trade defined the priority areas in Dak Lak Province for wind power development according to *Decision No. 3946/QD-BCT*, dated 16 October 2017. The Decision is about the approval for the Power Development Plan of Dak Lak Province in a period of 2016 – 2025 with a vision towards to 2035 and the planning of 110 kV power system development.

The Projects in Krong Buk District, Dak Lak Province, with a total installed capacity of 200 MW (4×50 MW) and expectation to generate 754.607 GWh/year, aims to ensure power security and supply electricity without generating greenhouse gas emission, and is aligned with the Dak Lak Power Development Plan and Policy on socio-economic development in association with environmental protection and National plans to reduce GHG. Located in a highland region in Cu Ne, Cu Pong, Ea Sin, Chu Kbo communes, Krong Buk District, Dak Lak Province, Vietnam, the Project covers a potential area of 119.71 hectares and its altitude is around 610 – 830 MASL. The Project’s location is presented in Figure 1.1.

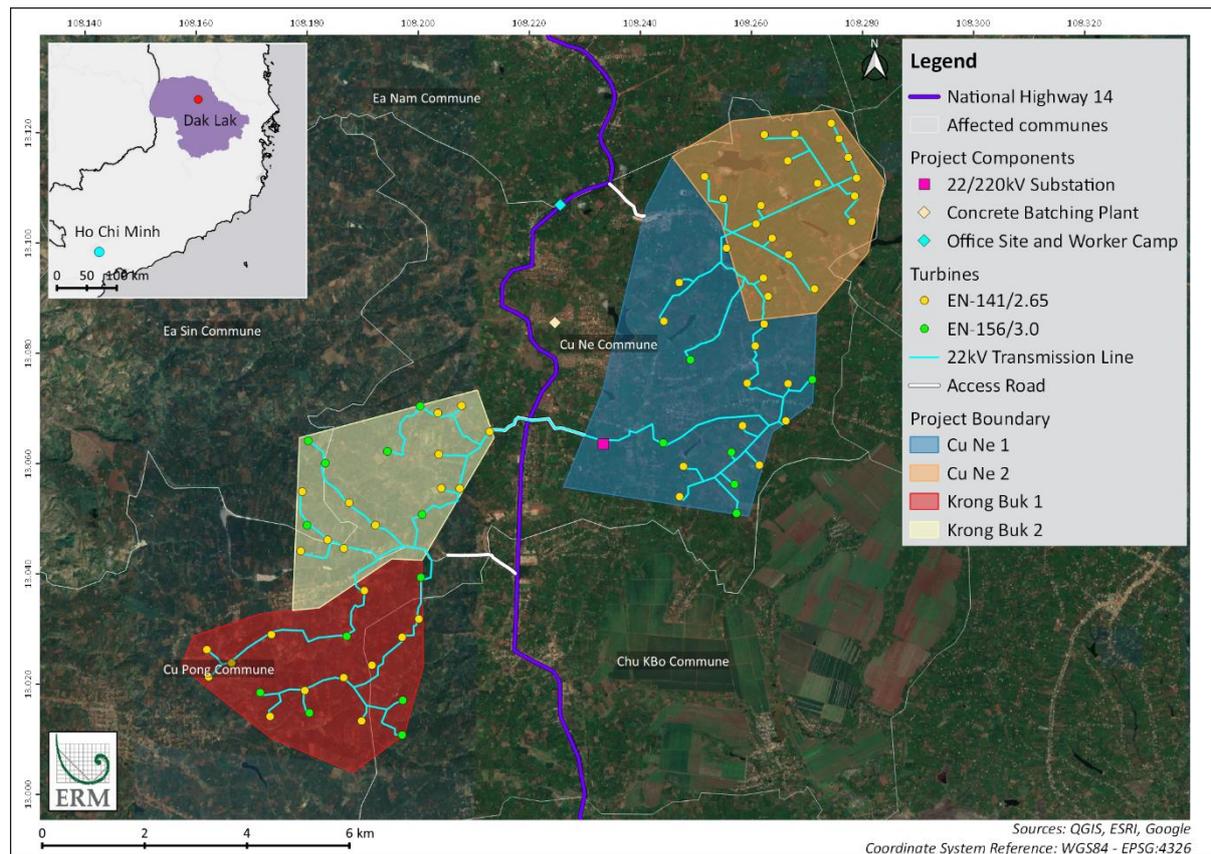


Figure 1.1 Project's Location

The Project's area locates in a low mountain and hilly landform with a wide and gentle topography on the top of the mountain. That location is also covered by agriculture land, mostly cash crops such as coffee, rubber, pepper, and cacao. The key components of the Project includes:

- 73 wind turbines with a total capacity of 199.75 MW including:
 - KrongBuk No.1 Wind Farm (KB1): 18 Wind Turbines (12 with capacity of 2.65 MW and 6 with capacity of 3.0 MW)
 - KrongBuk No.2 Wind Farm (KB2): 18 Wind Turbines (12 with capacity of 2.65 MW and 6 with capacity of 3.0 MW)
 - Cu Ne No.1 Wind Farm (CN1): 18 Wind Turbines (12 with capacity of 2.65 MW and 6 with capacity of 3.0 MW), and
 - Cu Ne No.2 Wind Farm (CN2): 19 Wind Turbines with capacity of 2.65 MW per each.
- The 0.69/22 kV – 3000 kVA transformer and other 22 kV components installed in the cabin inside the turbine
- 22 kV underground collector lines connecting all Wind Turbine Generators (WTGs) to the 22 kV busbar of the 22/220 kV Substation
- 22/220 kV substation with capacity of 2×125 MVA
- 220 kV Transmission Line (0.33 km) connecting the 22/220 kV substation to the National Grid
- Management and operation house, and
- Internal road system.

Pursuant to the Section 1, Appendix II under the *Decree No. 40/2019/ND-CP* dated 13 May 2019 by the Government, the sub-projects covering an area of fixed-term land use of under 50 ha (Almost land area used for the Project's facilities are used for agriculture land¹) are exempted from developing and getting approval of the regulatory Environmental Protection Plan (EPP). EPP exemption for the sub-projects is confirmed by the Dak Lak Province Department of Natural Resources and Environment (see Table 1.2).

The sub-projects also got the approval of Construction Permit Exemption from Dak Lak Province Department of Construction (see Table 1.2). The Project was exempted from the construction permit as the construction facilities are planned to be developed in rural areas where there is no approval of urban development plans as well as detailed construction plans according to Article 89, Vietnam Construction Law No. 50/2014/QH13, dated 18 June 2014 of National Assembly.

Table 1.2 EPP and Construction Permit Exemption for the Project

No.	Sub-Project	EPP Exemption Document by Dak Lak Province Department of Natural Resources and Environment	Construction Permit Exemption Document by Dak Lak Province Department of Construction
1	Krong Buk No.1 Wind Farm (KB1)	No. 63/STNMT-CCQLDD dated 11 January 2021	No. 1728/SXD-QLXD dated 23 July 2021
2	Krong Buk No.2 Wind Farm (KB2)	No. 62/STNMT-CCQLDD dated 11 January 2021	No. 1729/SXD-QLXD dated 23 July 2021
3	Cu Ne No.1 Wind Farm (CN1)	No. 61/STNMT-CCQLDD dated 11 January 2021	No. 1726/SXD-QLXD dated 23 July 2021
4	Cu Ne No.2 Wind Farm (CN2)	No. 60/STNMT-CCQLDD dated 11 January 2021	No. 1727/SXD-QLXD dated 23 July 2021

Source: China Huadian Engineering Co., Ltd, 2021

The Project's schedule of implementation is shown in Table 1.3. As the Project has started its construction of turbines and substation, the Project companies have developed EPPs and had EPP registered at the Krong Buk District People's Committee on 24 July 2021.

Table 1.3 Project's Schedule

No.	Timeframe	Activity
1	April 2020 – May 2020	Get approval of Feasibility Study Report
2	May 2019 – July 2020	Technical Design (Construction and Electricity)
3	June 2020 – August 2020	Bidding and electricity purchasing agreement
4	September 2020 – March 2021	Bidding and electricity purchasing agreement
5	March 2021 – April 2021	Get approval of Feasibility Study Report and Technical Design (construction and electricity)
6	March 2021 – January 2022	Land acquisition
6.1	March 2021 – November 2021	All the land acquisition agreements are signed with landowners.
6.2	June 2021 – December 2021	All payment of compensation to landowners are done.
6.3	July 2021 – December 2021	Compensation plan are reviewed by KrongBuk Government
6.4	July 2021 – December 2021	Compensation plan are approved by KrongBuk Government

¹ Provided by the China Huadian Engineering Co., Ltd

No.	Timeframe	Activity
6.5	October 2021 – January 2022	Final Approval from Dak Lak Province
7	April 2021 – July 2021	Construction of road system, wind turbines, installation of electricity system (Substation and Transmission line), and transportation of equipment to the Project's site.
8	August 2021 – September 2021	Testing and Commissioning of 22/220 kV Substation. Wind turbines installation.

Source: Project's Feasibility Study Report

The planned schedule of construction phase is within 18 months and is shown in Table 1.4. The operation phase is within 20 years.

Table 1.4 Planned Construction Milestones

No.	Timeframe	Activity
1	July – September 2020	Preparation and Commencement
2	September 2020 – April 2021	Road construction and preliminary installation of laydown area
3	December 2020 – April 2021	Construction of Wind Turbine Foundation and Laydown area completion
4	October 2021 – March 2021	Construction of 220 kV Substation
5	March 2021 – June 2021	Construction and Installation of underground cable
6	April 2021 – July 2021	Wind Turbine Installation
7	Early August 2021 ²	Power generation at the first wind turbine
8	September 2021	Grid connection and all WTGs commissioning

Source: Feasibility Study Report and Updated from the Client, 2021

At the time of developing this ESIA, the Project is under the construction phase in which the construction of eight turbine foundations is completed and the field levelling of the substation, laydown area, and access roads is finished.

ERM Vietnam (ERM) was commissioned by CHEC to undertake an Environmental and Social Impact Assessment (ESIA) Report, including a SEP for the execution and operation of the abovementioned Project. The purpose of the ESIA is to inform the Client and their Project partners of the environmental and social impacts associated with the Projects and in particular the extent to which the Projects aligns with the expectations of the Asian Infrastructure Investment Bank (AIIB), International Finance Corporation (IFC) Performance Standards and the associated World Bank Group Environmental, Health and Safety (EHS) Guidelines.

1.3 Applicability

This SEP is developed for the current Project design and capacity and is designed to facilitate Informed Consultation and Participation (ICP) with IAPs, including Indigenous Peoples (IPs) located within the project area. The plan outlines the projects provisions with regards to engaging with the community and also receiving feedback via Community Grievance Procedure during the projects construction and operation.

Also as required in EP4, when assessing human rights impacts it is important to recognise and engage the full range of relevant stakeholders, including considering their different roles and responsibilities.

² The actual schedule of the Project is delayed due to the COVID-19 situation (observed during the scoping site visit).

Stakeholder engagement is also critical in impact assessment and has therefore been included as the key cross-cutting theme. The following sections provide guidance on how to engage with rights-holders throughout the impact assessment process to ensure that they can meaningfully participate in the process and influence decision-making that impacts on their lives; as well as other stakeholders who have duties and responsibilities with regard to respecting the human rights of workers and community members.

An effective stakeholder engagement process, which includes proactively providing access to information on a regular basis and conducting consultations to listen to the stakeholder concerns and feedback, can help to prevent grievances from arising in the first place. However, projects with high potential of environmental and social impacts, or high profile impacts, often result in grievances from project stakeholders. Therefore, a Community Grievance Mechanism (CGM) needs to be developed and implemented to ensure that project related grievances can be identified, documented, solved and monitored. A community grievance mechanism should be in place from the beginning of the social and environmental assessment process and should be maintained throughout the project life cycle. As with the broader process of stakeholder engagement, it is important that the Project stays informed and involved in the grievance mechanism so that decisive action can be taken when needed to avoid escalation of disputes. To allow grievances to be incorporated into project decision-making and to allow key messages to be accurately communicated, all community grievances will be recorded in the issues/ grievances register as a means of maintaining transparency throughout any action taken relating to a grievance.

Besides, the Worker Grievance Mechanism (WGM) is to provide the procedures for resolving and managing all grievances of workers incurred during the construction and operation of the Projects. This is also the instruction for the workers once they have any grievances or concerns relating to the Projects. This mechanism is designed to ensure that the necessary actions will be taken to avoid the recurrence of similar problems during the Projects' construction and operation phases. This mechanism is designed for construction and operation phases of the Projects and thus applies to the Project Owner, Site Management Team, subcontractors, all workers working on the Projects and surrounding communities, and relevant parties. It addresses complaints and denunciations on portion of the works and activities associated with the Project where the Site Management Team and subcontractors have a prevailing influence and responsibility over the performance of the works. This mechanism includes grievances submitted anonymously.

1.4 Report Structure

This report includes the following sections:

Section 1 – Introduction;

Section 2 – Criteria and Performance Requirements;

Section 3 – Stakeholder Analysis;

Section 4 – Indigenous Peoples and Engagement Requirements;

Section 5 – To Date Stakeholder Engagement;

Section 6 – Community Grievance Mechanism;

Section 7 – Worker Grievance Mechanism;

Section 8 – AIIB Policy On The Project-Affected People's Mechanism

Section 9 – Future Engagement Plan;

Section 10 – Human Resources and Responsibilities;

Section 11 – Budget; and

Section 12 – Monitoring and Reporting.

2. CRITERIA AND PERFORMANCE REQUIREMENTS

The Stakeholder Engagement Plan (SEP) is a component of the Environmental and Social Management Plan (ESMP) that will guide the Project's implementation through the construction and operation phases. The AIIB Environmental and Social Policy, Equator Principles IV (2020) and IFC Performance Standard (2012) emphasises the need for ongoing and appropriate communication and information disclosure between the developer and stakeholders through all stages of a project's lifecycle.

This SEP defines a technical and culturally appropriate approach to engagement, consultation and disclosure in the Project environment, to ensure sufficient community participation; provision of adequate and timely information to all communities and adequate opportunity for stakeholders to voice opinions, concerns and issues. Records of stakeholder engagement and opinions of stakeholders should be considered when making Project decisions.

2.1 Vietnam Regulations

2.1.1 Stakeholder Engagement

- Law on Environmental Protection³ No. 55/2014/QH13 dated 23 June 2014 and effective from 01 January 2015 stipulates that consultation is required in the process of EIA. Project Owners are obliged to consult with regulatory agencies, organizations and communities that are directly affected by the Project;
- Decree No. 18/2015/ND-CP dated 14 February 2015 on Strategic Environmental Assessment, Environmental Impact Assessment and Environmental Protection Commitment stipulates that community consultation is a compulsory item in the EIA process and must meet the following criteria:
 - With authorities: The Project Owner shall send a local EIA report to the People's Committee of the communes where the project is located and the directly affected organisations (e.g. manufactories, co-operatives) together with a written request for opinions of the authorities and organisations. These opinions will be stated in the Public Consultation chapter of the local EIA; and
 - With communities: Consultation with the directly affected communities shall be carried out in the form of a community consultation meeting co-chaired by the Project Owners and the Fatherland Front and People's Committee of the commune where the project is located. All opinions of audiences attending the meeting must be sufficiently and honestly stated in the meeting minutes. These opinions and meeting minutes then will be described in and attached with the local EIA. Separate community consultation meetings are sometimes conducted for different affected communes;
- Decree No. 136/2018/ND-CP dated and effective on 5 October 2018 issued by The Government promulgating amendments to Decree No. 18/2015/ND-CP provides the regulatory requirements for trade and investment in the environment and natural resource sector;
- Decree No. 40/2019/ND-CP dated 13 May 2019 and effective on 1 July 2019 promulgating amendments to Decree No. 18/2015/ND-CP also requires that the Project Owners is responsible for disclosing the Approval Letter for the local EIA to the affected communes; and
- Decree No. 11/VBHN-BTNMT dated 25 October 2019 on Strategic Environmental Assessment, Environmental Impact Assessment and Environmental Protection Commitment, issued by the

³ Law on Environmental Protection No. 72/2020/QH14 will replace Law on Environmental Protection No. 55/2014/QH13 from 1 January 2022

Ministry of Natural Resources and Environment, consolidated three Decrees include i.e. Decree No. 18/2015/ND-CP, Decree No. 136/2018/ND-CP and Decree No. 40/2019/ND-CP.

2.1.2 Grievance Mechanism

- The Law on Grievance No.02/2011/QH13 issued by the National Assembly on 11 November 2011 and effective from 1 July 2012 provides the framework for grievances and the settlement of grievances and the settlement of grievances related to disciplinary decisions against cadres or civil servants; and reception of citizens, management and supervision of complaint settlement work. In general, the raising of grievances and settlement of grievances must comply with the law and ensure objectiveness, publicity, democracy and timeliness;
- Law No. 03/2011/QH13 on Denunciations dated 11 November 2011;
- Law No. 10/2012/QH13 on Labour Code dated 18 June 2012;
- Law No. 42/2013/QH13 on Reception of Citizens dated 25 November 2013;
- Law No. 12/2012/QH13 on Trade Union dated 1 January 2013;
- The Law on Administrative Procedures No.93/2015/QH13 issued by the National Assembly on 25 November 2015 and effective from 1 July 2016 prescribes fundamental principles in administrative procedures; tasks, powers and responsibilities of procedure-conducting agencies and persons; rights and obligations of procedure participants and related agencies, organizations and individuals; order and procedures for instituting lawsuits, settling administrative cases, executing administrative judgments and settling complaints and denunciations in administrative procedures;
- The Civil Procedure Code 2015 issued by the National Assembly on 25 November 2015 and effective from 1 July 2016 provides for the basic principles in civil proceedings; the order and procedures for initiating lawsuits at People's Court to settle cases of civil, marriage and family, business, trade and labour including grievances on environmental pollution between individuals and organizations.
- Circular No. 07/2014/TT-TTTP issued by the Government Inspectorate on 31 October 2014 and effective from 15 December 2014 prescribes the process of receiving, categorization, investigation and resolving community grievances;
- Decree No. 75/2012/ND-CP dated 03 October 2012 detailing a number of articles of the Law on Complaints;
- Circular No. 07/2013/TT-TTTP dated 31 October 2013 regulating procedure for settlement of administrative complaints; and
- Circular No. 02/2016/TT-TTTP dated 20 October 2016 revising Circular No. 07/2013/TT-TTTP regulating procedure for settlement of administrative complaints

2.2 AIIB Environmental and Social Policy on Stakeholder Engagement

2.2.1 Stakeholder Engagement

The AIIB philosophy believes that transparency and meaningful consultation is essential for the design and implementation of a Project and works closely with its Clients to achieve this objective. Meaningful consultation is a process that begins early and is ongoing throughout the Project. It is inclusive, accessible, timely and undertaken in an open manner. It conveys adequate information that is understandable and readily accessible to stakeholders in a culturally appropriate manner and in turn, enables the consideration of stakeholders' views as part of decision-making. Stakeholder engagement is conducted in a manner commensurate with the risks to, and impacts on, those affected by the Project.

2.2.2 Treatment of Labour

The AIIB recognizes the important role played by workers and their representatives in the development process and their contribution to sustainable economic growth. It believes that the following measures contribute to the quality of the Project: providing workers with living wages, safe and healthy working conditions and putting measures in place to prevent accidents, injuries and disease; avoiding activities involving forced labour and harmful or exploitative forms of child labour; having good human resources management; and having a sound labour management relationship based on equal opportunity, fair treatment, non-discrimination, freedom of association, right to collective bargaining and access to grievance mechanisms, consistent with the national law (including international agreements adopted by the member) governing the Project.

2.2.3 Grievance Mechanism

The AIIB requires the Client to establish, in accordance with the ESP and applicable ESSs, a suitable grievance mechanism to receive and facilitate resolution of the concerns or complaints of people who believe they have been adversely affected by the Project's environmental or social impacts, and to inform Project - affected people of its availability. The grievance mechanism is scaled to the risks and impacts of the Project. The grievance mechanism may utilize existing formal or informal grievance mechanisms, provided that they are properly designed and implemented, and deemed by the Bank to be suitable for the Project; these may be supplemented, as needed, with Project specific arrangements. The mechanism is designed to address affected people's concerns and complaints promptly, using an understandable and transparent process that is gender sensitive, culturally appropriate and readily accessible to all affected people. The grievance mechanism includes provisions to protect complainants from retaliation and to remain anonymous, if requested. The mechanism provides for maintenance of a publicly accessible case register, and reports on grievance redress and outcomes, which are disclosed in accordance with the applicable ESSs.

For private sector Projects, establish a grievance mechanism for workers to address workplace concerns (see below) an accessible, understandable and transparent grievance mechanism for raising Project workplace concerns that: (i) does not impede access to other judicial or administrative remedies that might be available under law or through existing arbitration or mediation procedures, or substitute for grievance mechanisms provided through workers unions or collective agreements; (ii) involves an appropriate level of management and addresses concerns promptly, using an understandable and transparent process that provides timely feedback to those concerned, without any retribution; and (iii) allows for confidential complaints to be raised and addressed; and (h) a suitable system designed to inform Project workers of the grievance mechanism at the time of hiring, and make it easily accessible to them.

2.2.4 Policy on the Project-affected People's Mechanism

People who believe they have been or are likely to be adversely affected by a failure of the Bank to implement the ESP may also submit complaints to the Bank's Project-affected People's Mechanism in accordance with the Policy on the Project-affected People's Mechanism (see further in Section 8).

2.2.5 Policy on Public Information

The AIIB Articles of Agreement, the legal basis for our existence, requires AIIB to promote transparency in its operations through a policy on the disclosure of information. On 27 Sep 2018, AIIB's Board of Directors approved the Policy on Public Information (PPI) as the embodiment of that commitment. It defines what kind of information we are required to disclose, and when.

The PPI is based on three principles that equally govern AIIB's practice of disclosing information:

- Principle 1: Presumption in Favour of Disclosure;
- Principle 2: Duty of Proactive Disclosure; and

- Principle 3: Non-Discrimination and Equal Treatment of Disclosure Requests.

2.2.6 Indigenous Peoples – Consultation and Grievance Mechanisms

2.2.6.1 Consultation

It is required that the Project carry out a process of meaningful consultation on the Project with affected Indigenous Peoples communities and concerned Indigenous Peoples organizations, in a culturally appropriate, accessible and inclusive manner, and facilitate their informed participation:

- in designing, implementing and monitoring measures to avoid adverse impacts or, when avoidance is not possible, to minimize, mitigate, offset or compensate for such impacts; and
- in tailoring Project benefits to the affected Indigenous Peoples communities in a culturally appropriate manner. To enhance affected Indigenous Peoples' active participation, provide for culturally appropriate, and gender inclusive capacity development in the Project.

In addition, the Project should ensure that this process:

- involves Indigenous Peoples' representative bodies and organizations (e.g., councils of elders, village councils or chieftains) and, where appropriate, other community members;
- provides sufficient time for Indigenous Peoples' decision-making processes; and
- allows Indigenous Peoples' effective involvement in the design of Project activities or mitigation measures that may affect them either positively or adversely.

2.2.6.2 Grievance Mechanisms

The AIB requires the Client to (i) establish a culturally and language appropriate and gender inclusive grievance mechanism to receive and facilitate resolution of affected Indigenous Peoples' concerns and grievances regarding the Project's environmental and social performance, and inform them of its availability, (ii) scale the grievance mechanism to the risks to, and impacts of, the Project on Indigenous Peoples, and (iii) design the mechanism to address Indigenous Peoples' concerns and complaints promptly, using an understandable and transparent process that is gender-sensitive, culturally and language appropriate and readily accessible to all affected Indigenous Peoples. The grievance mechanism may utilize existing formal or informal grievance mechanisms, which are properly designed and implemented, and determined by the Bank to be suitable for the Project; these may be supplemented, as needed, with Project-specific arrangements. Include provisions to protect complainants from retaliation and to remain anonymous. Make reports on grievance redress and outcomes available, in accordance with (m) Information Disclosure.

2.3 Equator Principles Requirement Relevant to Stakeholder Engagement and Grievance Mechanism

From the Lender's perspective, the Equator Principles (2020) seek to ensure that the Project is developed in a manner that is socially responsible and reflects sound environmental management practices. The Equator Principles IV highlights that for all Category A and Category B projects, a Social and Environment Assessment has to be conducted which should include "*consultation and participation of affected parties in the design, review, and implementation of the Project*" (Statement 17, Exhibit II, Equator Principles IV, 2020), and Principle 5, focusing on Stakeholder Engagement states that:

"For all Category A and Category B Projects, the Equator Principles Financial Institute (EPFI) will require the client to demonstrate effective Stakeholder Engagement as an ongoing process in a structured and culturally appropriate manner with Affected Communities, Workers and, where relevant, other Stakeholders.

For Projects with potentially significant adverse impacts on Affected Communities, the client will conduct an Informed Consultation and Participation process. The client will tailor its consultation process to the risks and impacts of the Project; the Project's phase of development; the language preferences of the Affected Communities; their decision-making processes; and the needs of disadvantaged and vulnerable groups. This process should be free from external manipulation, interference, coercion and intimidation.

To facilitate Stakeholder Engagement, the client will, commensurate to the Project's risks and impacts, make the appropriate Assessment Documentation readily available to the Affected Communities, and where relevant other Stakeholders, in the local language and in a culturally appropriate manner. The client will take account of, and document, the results of the Stakeholder Engagement process, including any actions agreed resulting from such process. Disclosure of environmental or social risks and adverse impacts should occur early in the Assessment process, in any event before the Project construction commences, and on an ongoing basis.

Where Stakeholder Engagement, including with Indigenous Peoples, is the responsibility of the host government, EPFIs require the client to collaborate with the responsible government agency during the planning, implementation and monitoring of activities, to the extent permitted by the agency, to achieve outcomes that are consistent with IFC Performance Standard 7." (Principle 5, Equator Principles, 2020).

The Equator Principles (2020) also have specific requirements in relation to grievance mechanisms (GM). Equator Principle 6 – Grievance Mechanism states that:

"For all Category A and Category B Projects, as appropriate, Category B Projects, the EPFI will require the client, as part of the Environmental and Social Management System (ESMS), to establish a grievance mechanism which are designed for use by Affected Communities and Workers, as appropriate, to receive and facilitate resolution of concerns and grievances about the Project's environmental and social performance.

Grievance mechanism is required to be scaled to the risks and impacts of the Project, and will seek to resolve concerns promptly, using an understandable and transparent consultative process that is culturally appropriate, readily accessible, at no cost, and without retribution to the party that originated the issue or concern. Grievance mechanisms should not impede access to judicial or administrative remedies. The client will inform the Affected Communities and Workers about the mechanism in the course of the Stakeholder Engagement process⁴" (Principle 7, Equator Principle, 2020).

2.4 IFC Performance Standards on Stakeholder Engagement and Grievance Mechanism

The International Finance Corporation (IFC) requires from its clients that they undertake a process of consultation in a manner that provides the affected communities with opportunities to express their views on project risks and impacts. The extent and degree of engagement required by the consultation

⁴ Additional guidance for the effectiveness criteria for grievance mechanisms can be found in the UNGPs, Principles 29 and 31 and related Commentary.

process is commensurate with the particular project's risks and adverse impacts (see further in Appendix A).

2.4.1 Public Consultation, Disclosure and Participation

The IFC PS1 provides an outline of public consultation, disclosure and participation, including requirements that:

- The range of stakeholders should be identified;
- Project information should be disclosed to affected communities and other stakeholders to understand the risks, impacts, and opportunities of the project;
- When affected communities are subject to identified risks and adverse impacts from a project, a process of Informed Consultation and Participation should be undertaken in a manner that provides the affected communities with opportunities to express their views on project risks, impacts and mitigation measures, and allows the client to consider and respond to them; and
- Project disclosure, informed consultation and participation processes should be documented.

As required by IFC PS7, if a project involves with the Affected Communities of Indigenous Peoples, Informed Consultation and Participation (ICP) and Free Prior Informed Consent (FPIC) should be followed during and after the consultation with Indigenous Peoples (IP) prior to the commencement of any the Project's development on their ancestral land or using resources.

2.4.2 Grievance Redress

The IFC PS1 requires the Project Owner to establish a Grievance Mechanism to receive and facilitate resolution of affected communities' concerns and grievances regarding the Project's environmental and social performance. The Grievance Mechanism should be disclosed and clearly explained to the affected communities in the course of the stakeholder engagement process.

The IFC PS5 requires the Project Owner to establish a community grievance mechanism consistent with Performance Standard 1 to receive and address specific concerns about compensation and resettlement that are raised by displaced persons or members of host communities, including a recourse mechanism designed to resolve disputes in an impartial manner.

The IFC PS2 requires the Project Owner provide a grievance mechanism for workers (and their organizations, where they exist) to raise workplace concerns. The mechanism should involve an appropriate level of management and address concerns promptly, using an understandable and transparent process that provides timely feedback to those concerned, without any retribution. The mechanism should also allow for anonymous complaints to be raised and addressed. The mechanism should not impede access to other judicial or administrative remedies that might be available under the law or through existing arbitration procedures, or substitute for grievance mechanisms provided through collective agreements.

Detailed requirements of the applicable IFC Performance Standards on stakeholder engagement and grievance management are summarised in Appendix A.

2.5 Participation and Consultation in International Human Rights Law and Other Frameworks

- Article 25 of the International Covenant on Civil and Political Rights provides for the right of citizens to take part in political affairs and Article 19 guarantees the right to freedom of expression, including the right to seek information;
- UN treaty bodies have issued numerous general comments that point to government responsibility to inform and hear the opinions of groups affected by political decisions, in particular with regard to their economic, social and cultural rights;

- In the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) and ILO Convention No. 169, it is mentioned that indigenous peoples have a right to be consulted according to the principle of free, prior and informed consent (FPIC);
- United Nations Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities;
- The Convention on the Rights of the Child (CRC) states that children have the right to participate in decision-making processes that may be relevant in their lives and to influence decisions taken—within the family, the school or the community;
- The Convention on the Rights of Migrant Workers and Members of their Families (ICMW) demands consultation with, and participation of, migrant workers and their families in decisions concerning the life and administration of local communities;
- A call for consultation has also been built into the Convention on the Rights of Persons with Disabilities (CRPD);
- United Nations Principles for Older Persons and ILO Convention No. 128 concerning Invalidity, Old-Age and Survivors' Benefits;
- The Yogyakarta Principles and UN OHCHR - Combating discrimination based on sexual orientation and gender identity;
- The Convention against the Elimination of All Forms of Discrimination against Women (CEDAW) has also insisted on the importance of the right to participation of women;
- International Covenant on Economic, Social and Cultural Rights: art. 12; International Convention on the Elimination of All Forms of Racial Discrimination: art. 5 (e) (iv);
- UN Guiding Principle 18 explicitly points out that the process of identifying human rights impacts should involve “meaningful consultation with potentially affected groups and other relevant stakeholders”. In the associated commentary, it is specified that businesses should seek to understand the concerns of potentially affected stakeholders “by consulting them directly in a manner that takes into account language and other potential barriers to effective engagement. In situations where such consultation is not possible, business enterprises should consider reasonable alternatives such as consulting credible, independent expert resources, including human rights defenders and others from civil society; and
- The OECD Guidelines for Multinational Enterprises (2011) also state that multinational enterprises should engage with relevant stakeholders in order to provide meaningful opportunities for their views to be taken into account in relation to planning and decision-making for projects or other activities that may significantly impact on local communities.

3. STAKEHOLDER ANALYSIS, INCLUDING HUMAN RIGHTS – BASED MAPPING

3.1 Stakeholder Identification

3.1.1 Stakeholder Identification Based on the Typical Interest – Influence Approach

In order to engage with the relevant stakeholders, it is necessary to first identify the different stakeholders in order to understand their situation and their relationship to the business project, as well as the power dynamics between them.

During the recent stakeholder engagement as part of the ESIA and ESMP process, a list of stakeholders was developed by taking into account the following considerations:

- Potential Project's impacts⁵ (on e.g. environmental, biodiversity, social aspects) during its life cycle;
- Type of stakeholder engagement mandated by laws and Project standards;
- Potential people/organisations (directly and indirectly) affected by potential impacts in the Project's area of influence through consultation with relevant stakeholder representatives; and
- Vulnerable groups⁶ requiring special engagement efforts.

3.1.2 Stakeholder Identification Based on the Human Rights Approach

When assessing human rights impacts it is important to recognise and engage the full range of relevant stakeholders, including considering their different roles and responsibilities. A stakeholder is a person, group or organisation with an interest in, or influence on, a business project or activity, as well as those potentially affected by it.

3.2 Stakeholder Categorisation

3.2.1 Stakeholder Categorisation Based on the Typical Interest – Influence Approach

After stakeholders had been identified and grouped, the stakeholders were categorised based on influence, interest, and the degree of potential impact regarding the Project development activities. These categories were:

- Environmental – this includes concerns regarding the alteration of current environmental baseline conditions such as emissions and local air quality, elevated noise/disturbance levels, damage to and depletion of ecological systems, generation and disposal of waste, changes in resources availability, and impacts on the aesthetic value of the environment.

⁵ Refer to Chapter 10, 11, 12, 13, and 14 of ESIA Huadian Dele Wind Power Project

⁶ Vulnerable groups/ households are defined as meeting at least one of the following criteria:

- poor or near-poor households certified by the Government;
- female-headed households;
- households with orphans or abandoned children; Households with an elderly person above the age of 60 living alone; households with an elderly person from 80 years old without social welfare or insurance;
- households with a physically disabled member; households with a mentally disabled member incapable of work;
- households with a member with HIV/AIDS and unable to work; households with a single parent from a poor household who are raising children under the age of 16, or children aged 16-18 and attending school; and
- households with an illiterate breadwinner.

- Health and Safety – this includes concerns about community health and safety, labour safety, right of way/retention of access for communities, visual impacts, shadow flicker impacts, unplanned events, and traffic safety.
- Social – this includes concerns about land acquisition process, livelihoods, agricultural activities, religious issues, gender, and employment of local/foreign workforce, indigenous peoples, utility requirements, infrastructure requirements, and supply of materials.
- Technical – this includes concerns about issues related to feasibility, Project design, transmission line route, emergency preparedness, knowledge sharing, and project management issues.

3.2.2 Stakeholder Categorisation Based on the Human Rights Approach

Relevant stakeholders for the assessment of human rights impacts include affected rights-holders, duty-bearers and other relevant parties.

- **Rights-holders:** all individuals are human rights-holders. In the context of HRIA the focus is on those rights-holders who are actually or potentially adversely affected by the business project or activities. Rights-holders are entitled to enjoy and exercise their rights by virtue of being human, as well as to access to effective remedy where their rights have been breached. Organisations or entities, such as trade unions or religious institutions, are not human rights-holders, but may act in a representative capacity. Examples of rights-holders whose human rights can be impacted by business projects or activities include: workers; supply chain workers; local community members including women, children, indigenous peoples, migrants, persons with disabilities; human rights defenders; customers; and end-users.
- **Duty-bearers:** are actors who have human rights duties or responsibilities towards rights-holders. States are the primary human rights duty-bearers—they have a legal obligation to respect, protect and fulfil human rights. Companies have a responsibility to respect human rights; to avoid infringing upon the rights of others and to address those impacts with which they are involved. Examples of duty-bearers in a business context include: a company operating a project or conducting business activities; business suppliers and contractors; joint-venture or other business partners; and government actors such as government authorities.
- **Other relevant parties:** these may include individuals or organisations whose knowledge or views could assist in the assessment of human rights impacts. This may include: specialist representatives from multilateral organisations, e.g. the UN or the International Labour Organisation; National Human Rights Institutions; NGOs and CSOs; local, regional and international human rights mechanisms and experts; as well as rights-holder representatives or representative organisations.

3.3 Stakeholder Mapping

3.3.1 Stakeholder Mapping Based on the Typical Interest – Influence Approach

To define stakeholder relationships, vulnerability, interest in and influence on Project activities, stakeholders were assessed and mapped by ERM. Mapping was done according to influence, interest, and the degree of potential impact based on the stakeholder mapping matrix as demonstrated in Figure 3.1. Since the interest and influence of the stakeholder and list of stakeholders will be changed over the course of Project development, the stakeholder analysis should be updated to reflect the change.

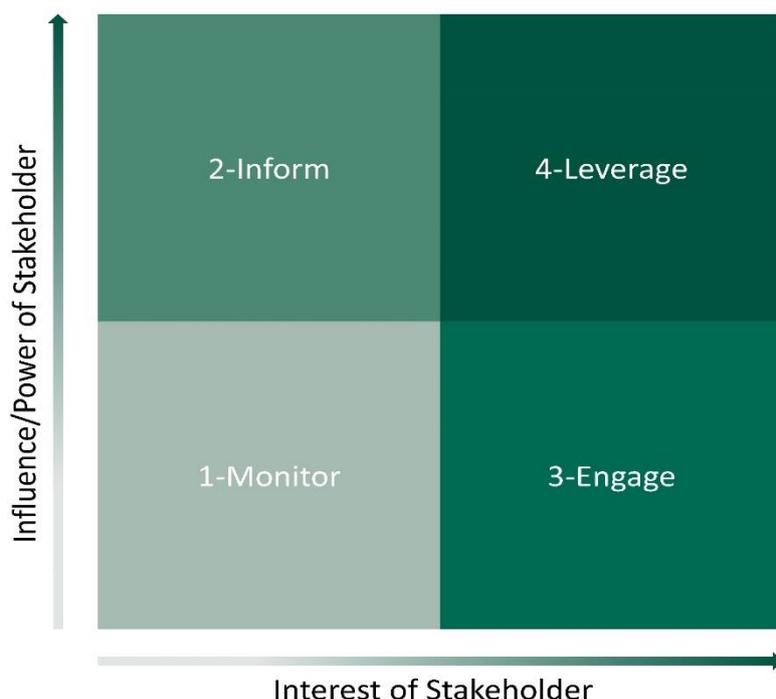


Figure 3.1 Typical Stakeholder Mapping Matrix

The stakeholder mapping matrix is a tool which assists in identifying where stakeholders stand depending on their influence and interest. The influence and interest of stakeholders can be classified as low or high.

A definition of each group based on the stakeholder mapping matrix in Figure 3.1 can be summarised as follows:

1. **Monitor:** low influence and low interest. Typically, this group includes those who have limited interest and influence on the Project including the media and non-governmental organisations (NGOs).
2. **Inform:** high influence and low interest. From an impact assessment perspective, these are stakeholders that have the potential to influence Project outcomes but may not have a specific interest in impact assessment related issues. Stakeholders in this group should be kept informed on the progress of the Project development and usually include statutory consultees.
3. **Engage:** low influence and high interest. This group is also an important group and includes those groups or organisations that are not adversely affected, but whose interests determine them as stakeholders. As such, this group should be kept engaged and the Project should maintain an open channel of communications with this group throughout Project phases. Typically this group would include local communities not directly affected by the Project and authorities who have limited influence on the Project.
4. **Leverage:** high influence and high interest. This group of stakeholders is often the most important to the Project as they have the ability to influence Project outcomes and also have a high level of interest in aspects of impact assessment. Stakeholders in this group should be engaged throughout the ESIA, and for many of these stakeholders beyond the ESIA and during construction and operation stages of the Project. This group of stakeholders would typically include statutory approval bodies and affected communities.

The results of stakeholder mapping based on Interest – Influence are summarised in Table 3.1 below. This table will be updated during the Project’s live cycle depending on Stakeholder Mapping Matrix via timelines.

Table 3.1 Stakeholder Analysis Based on the Typical Interest – Influence Approach

Categories	Stakeholders	Criteria				Influence of Stakeholder	Interest of Stakeholder	Level of Influence and Interest
		Environmental	Health & Safety	Social	Technical			
Local Communities	Households who would be economically displaced due to the land acquisition for the Project, residing in four communes of the Krong Buk District including: Cu Ne, Cu Pong, Ea Sin, and Chu Kbo.	✓	✓	✓	✓	High	High	4 - Leverage
	Ede Indigenous Peoples ⁷ who would receive any impacts from the Project (e.g. land acquisition, agriculture disturbance, noise, shadow flickering), particularly villagers from: <ul style="list-style-type: none"> ■ Cu Hriet and Ea Bro villages of Cu Pong commune; ■ Ea My village of Ea Sin commune; and ■ Kdro 1, Kdro 2, Drah 1, Drah 2, Ea Kung, Ea Siek, Ea Krom, Kmu, and Ea Nguoi villages of Cu Ne commune. 	✓	✓	✓	✓	High	High	
	Communities surrounding the Project who may be impacted by the Project’s construction and operation’s activities, especially vulnerable households: <ul style="list-style-type: none"> ■ Cu Hriet and Ea Bro villages of Cu Pong commune; ■ Ea My village of Ea Sin commune; 	✓	✓	✓	✓	High	High	

⁷ PS7 recognised that IPs, as social groups with **identities** that are distinct from mainstream groups in national societies, are often the **most marginalised and vulnerable** segments of the population

Categories	Stakeholders	Criteria				Influence of Stakeholder	Interest of Stakeholder	Level of Influence and Interest
		Environmental	Health & Safety	Social	Technical			
	<ul style="list-style-type: none"> ■ Kdro 1, Kdro 2, Drah 1, Drah 2, Ea Kung, Ea Siek, Ea Krom, Kmu, and Ea Nguoi villages of Cu Ne commune; and ■ Kty 4 and Kty 5 villages of Chu Kbo commune. 							
Governments and governmental agencies ⁸	<i>Dak Lak Provincial Authorities</i>							
	Dak Lak Province People’s Committee (PPC)	✓	✓	✓	✓	High	High	4-Leverage
	Department of Natural Resources and Environment (DoNRE)	✓	✓	✓	✓	High	High	
	Department of Planning and Investment (DPI)		✓	✓		High	High	
	Department of Industry and Trade (DOIT)	✓			✓	High	Low	2-Inform
	Department of Labour, Invalid and Social (DOLISA)					High	Low	
	Department of Agriculture and Rural Development (DARD)	✓	✓	✓		High	Low	
	Department of Transport (DOT)					High	Low	
	Department of Culture, Sport and Tourism (MOCST)	✓	✓	✓		Low	Low	1-Monitor
	Department of Health (MOH)	✓	✓	✓	✓	Low	Low	
	Department of Construction (DOC)	✓	✓	✓	✓	Low	Low	
	Department of Finance (DOF)	✓	✓	✓	✓	Low	Low	

⁸ Remember that government is a key stakeholder: local government authorities can play a role in convening and facilitating discussions between the project and stakeholder representatives. Local government can also partner with private companies in many respects, for example, in providing services, communicating information to the local population, or integrating local development plans with the operational needs of the project

Categories	Stakeholders	Criteria				Influence of Stakeholder	Interest of Stakeholder	Level of Influence and Interest
		Environmental	Health & Safety	Social	Technical			
	Department of Education and Training (DOET)			✓		Low	Low	
	Provincial Committee for Ethnic Minority Affairs (CEMA)			✓		Low	Low	
Krong Buk District Authorities								
	Krong Buk District People’s Committee (DPC)	✓	✓	✓	✓	High	High	4-Leverage
	Krong Buk District Land Fund Development Center			✓	✓	High	High	
	DONRE at district level	✓	✓	✓	✓	High	High	
	CEMA at district level			✓		High	High	
	DOLISA at district level		✓	✓		Low	High	3-Engage
	DARD at district level		✓	✓		Low	High	
	DOET at district level			✓		Low	High	
	DEMA at district level			✓		Low	High	
	Krong Buk District Fatherland Front Committee	✓	✓	✓	✓	Low	High	
	Districts Unions and Associations (i.e., Farmers’ Union, Women’s Union and Youth Union, Veterans),	✓	✓	✓	✓	Low	High	
	Police and District health Center							
Affected Communal Authorities								
	Commune People’s Committees of affected communes including: Cu Ne, Cu Pong, Ea Sin, and Chu Kbo.	✓	✓	✓	✓	High	High	4-Leverage

Categories	Stakeholders	Criteria				Influence of Stakeholder	Interest of Stakeholder	Level of Influence and Interest
		Environmental	Health & Safety	Social	Technical			
	Fatherland Front Committees	✓	✓			Low	High	3-Engage
	Commune Farmers' Union	✓	✓			Low	High	
	Commune Women's Union	✓	✓			Low	High	
	Commune Youth Union	✓	✓			Low	High	
	Police and Commune Health Station	✓	✓			Low	High	
Workers of the Project	Direct workers	✓	✓	✓	✓	High	High	4-Leverage
	Worker organisations	✓	✓	✓	✓	High	High	
	Contracted Workers	✓	✓	✓	✓	Low	High	3-Engage
	Supply Chain Workers ⁹			✓		Low	Low	1-Monitor
Economically Interested Parties	Lenders	✓	✓	✓	✓	High	High	4-Leverage
	Central Power Corporation (EVNCP)				✓	High	Low	2-Inform
	Vietnam Electricity Group (EVN)				✓	Low	Low	1-Monitor
Contractors and Suppliers	Project's contractors and subcontractors					Low	High	3-Engage
	Potential local suppliers and service providers	✓	✓	✓	✓	High	Low	
Industry and Neighbor Private Sector Bodies	Ea H'leo Wind Power Project	✓	✓	✓	✓	Low	Low	1-Monitor
	Ea Nam Wind Power Project	✓	✓	✓	✓	Low	Low	

⁹ The Project Owner is required to inquire about and address child labor and forced labor in its supply chain.

Categories	Stakeholders	Criteria				Influence of Stakeholder	Interest of Stakeholder	Level of Influence and Interest
		Environmental	Health & Safety	Social	Technical			
	Ea Mak (Ea My) and Cu Kbieng (Ea Kring) Wind Power Projects	✓	✓	✓	✓	Low	Low	
	Industry peers, competitors, as well as industry associations.	✓	✓	✓	✓	Low	Low	
Academic Groups	Academic groups (e.g. Lenders consultants) that will participate in project reviews in the project development	✓	✓	✓	✓	Low	High	3-Engage
Non-Governmental Organisations (NGOs)¹⁰	NGOs that will be partners with the projects in implementing E&S management plans	✓	✓	✓	✓	Low	High	3-Engage
	NGOs ¹¹ that might be interested in the project development and its potential impacts	✓	✓	✓	✓	Low	Low	1-Monitor
Media and Public security	National media (e.g. tuoitre, thanh nien, phapluat newspaper)	✓	✓	✓	✓	Low	Low	1-Monitor
	State public forces	✓	✓	✓	✓	Low	Low	
	Provincial media (e.g. baodaklak newspaper)	✓	✓	✓	✓	High	Low	2-Inform
	Culture and Information Division of Krong Buk district	✓	✓	✓	✓	High	Low	

¹⁰ Work with representative and accountable NGOs and community-based organisations: NGOs may have expertise valuable to effective stakeholder engagement. For example, they can be sources of local knowledge, sounding boards for project design and mitigation, conduits for consulting with sensitive groups, and partners in planning, implementing and monitoring various project-related programs

¹¹ List of existing NGOs in Dak Lak province is stated in Appendix J

3.3.2 Stakeholder Mapping Based on the Human Rights Impact Approach

Human rights based stakeholder mapping requires a different approach to that which is typically taken in stakeholder mapping matrix based on Interest-Influence as above.

Applying the human rights lens to stakeholder engagement requires that companies address whether and how they have effectively engaged with these stakeholders, including vulnerable stakeholders. Doing so requires shifting the focus from ‘risk to business’ to ‘risk to people’. It should be noted that human rights based stakeholder engagement mapping focuses on the risk to right-holders, as such special attention is given to the stakeholders in the bottom right corner.

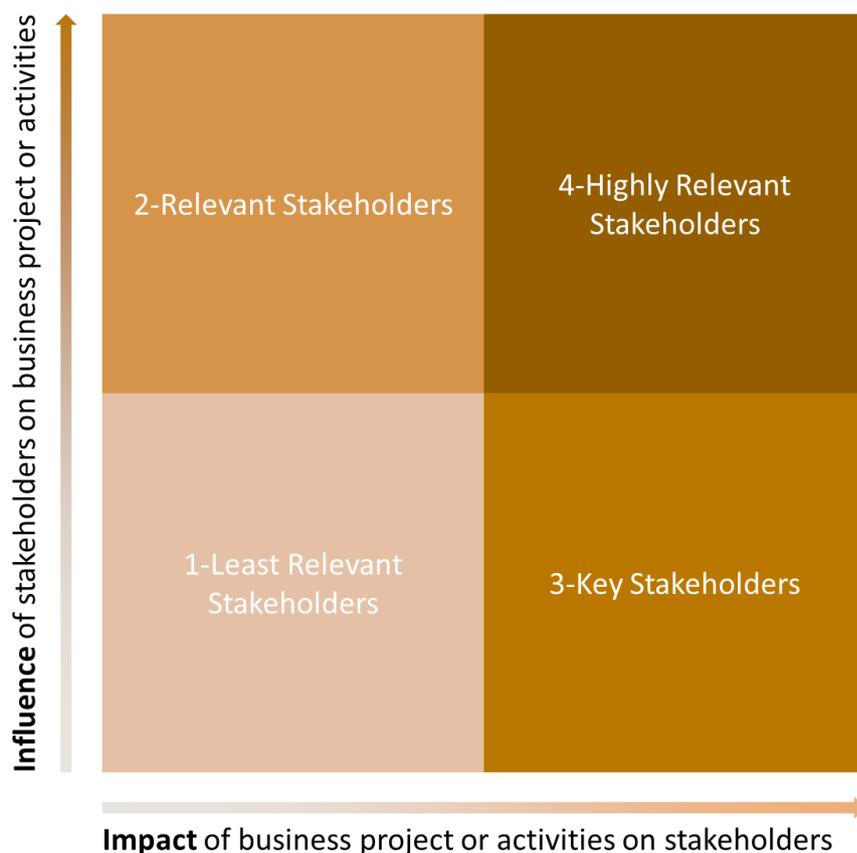


Figure 3.2 Human Rights based Stakeholder Mapping¹²

Stakeholders are placed in a matrix with two axes: influence of the stakeholder on the business project or activities (influence/power axes), and impact of the business project or activities on the stakeholder (impact axes). A definition of each group based on the stakeholder mapping matrix in Figure 3.2 can be summarised as follows:

1. **Least Relevant Stakeholders:** low influence and low impact. This group of stakeholders should be kept monitored. These group are e.g. international organisations, home-government actors, industry.
2. **Relevant Stakeholders:** high influence and low impact. This group of stakeholders should be kept informed. These group are e.g. civil society organisations, consumers, national authorities.
3. **Key Stakeholders:** low influence and high impact. Key Stakeholders represent stakeholders with low or limited influence over the company’s activities. ***This group serves as a critical stakeholder***

¹² Source: Adapted from Shift (2013), Bringing a Human Rights Lens to Stakeholder Engagement, Shift Workshop Report No.3, New York: Shift, p.6

category when assessing human rights risk. Vulnerable or marginalised rights-holders, which are categorised as having the least influence yet are highly impacted by the business project or activities.

4. **Highly Relevant Stakeholders:** high influence and high impact. This group of stakeholders is as this represents stakeholders who have influence over the business's activities. Failing to engage these stakeholders poses a clear 'business risk' to the company.

The results of stakeholder mapping based on HRIA are summarised in Table 3.2 below. This table will be updated during the Project's life cycle depending on Stakeholder Mapping Matrix via timeline.

Table 3.2 Stakeholder Analysis Based on HRIA

Stakeholder group	Specific types of stakeholders	Entity and general characteristics	Influence on business project	Impact on stakeholder	Level of Influence and Impact
Rights-holders	Potentially impacted community members	<ul style="list-style-type: none"> ■ Households affected by land acquisition; ■ Residents living near the project, farmers; ■ Community associations/organisations; ■ Community or religious leaders; ■ Schools, health center, local interest groups; and ■ Community members living down-stream from operations or in the supply chain. 	Low	High	3-Key Stakeholders
	Specific Rights-Holders including vulnerable or marginalised individuals or groups	<ul style="list-style-type: none"> ■ Ede Indigenous Peoples; ■ Children and young people; ■ Women and girls; ■ People with disabilities; ■ Elderly people; ■ Lesbian, gay, bisexual, transgender and intersex (LGBTI) individuals; ■ Persons living with Human Immunodeficiency Virus (HIV) & Acquired Immune Deficiency Syndrome (AIDS) or other diseases 	Low	High	3-Key Stakeholders

Stakeholder group	Specific types of stakeholders	Entity and general characteristics	Influence on business project	Impact on stakeholder	Level of Influence and Impact
	Workers and trade unions	<ul style="list-style-type: none"> ■ Employees presently working for the company in question; ■ Outsourced and casual/informal workers; ■ Former workers (if any former worker' grievances related) ; ■ Workers in the company's supply chain; ■ Individual workers¹³; ■ Their representatives (trade unions); ■ Workers dependants (their families). 	Low	High	3-Key Stakeholders
	Consumers/clients/customers	<ul style="list-style-type: none"> ■ Buyers and user of products and/or services of the company; ■ Direct and indirect consumers and consumer protection groups; and ■ User groups that represent them. 	High	Low	2-Relevant Stakeholders
	Human rights defenders	<ul style="list-style-type: none"> ■ Trade union; ■ Labour activists; and ■ Others like. 	Low	Low	2-Relevant Stakeholders
Duty-bearers	Host-government actors	<ul style="list-style-type: none"> ■ National authorities; ■ Policymakers and regulators. 	High	Low	2-Relevant Stakeholders
		<ul style="list-style-type: none"> ■ Local government representatives of specific government agencies or departments; 	High	High	4-Highly Relevant Stakeholders

¹³ whether under a contract of employment (whether express, implied, oral or in writing) or otherwise or who is deemed to be a worker by the legislation

Stakeholder group	Specific types of stakeholders	Entity and general characteristics	Influence on business project	Impact on stakeholder	Level of Influence and Impact
	Company representatives	<ul style="list-style-type: none"> ■ Company representatives at the Head Office and country operations level, including top management, middle-management, and various business function heads; ■ Departments and subject matter experts. 	High	High	4-Highly Relevant Stakeholders
	Business partners	<ul style="list-style-type: none"> ■ Lenders; ■ Joint venture partners; ■ Suppliers and subcontractors. 	High	High	4-Highly Relevant Stakeholders
	Investors and shareholders	<ul style="list-style-type: none"> ■ Project's investors and shareholders 	High	High	4-Highly Relevant Stakeholders
Other relevant parties	Civil society organisations (CSOs)	<ul style="list-style-type: none"> ■ Local non-governmental organisations (NGOs); ■ Community-based organisations; ■ Faith-based organisations, labour unions. 	High	Low	2-Relevant Stakeholders
		<ul style="list-style-type: none"> ■ International NGOs 	Low	Low	1-Least Relevant Stakeholders
	International organisations	<ul style="list-style-type: none"> ■ UN agencies such as the ILO, UNDP, UNICEF, Food and Agriculture Organisation; ■ Regional bodies such as the European Union, African Union, Association of Southeast Asian Nations, as well as development banks. 	Low	Low	1-Least Relevant Stakeholders
	Home-government actors	<ul style="list-style-type: none"> ■ Including embassies in the host country. 	Low	Low	1-Least Relevant Stakeholders
	National Human Rights Institutions (NHRIs)	<ul style="list-style-type: none"> ■ Autonomous body established by the state with a constitutional or legislative mandate to promote and protect human rights; 	Low	Low	1-Least Relevant Stakeholders

Stakeholder group	Specific types of stakeholders	Entity and general characteristics	Influence on business project	Impact on stakeholder	Level of Influence and Impact
		<ul style="list-style-type: none"> ■ Institutional forms commonly adopted include commissions, advisory institutes, ombudsman offices and public defenders' offices. 			
	Experts and journalists	<ul style="list-style-type: none"> ■ Including subject matter experts including academics and journalists on specific human rights issues or experts related to the business sector or technical issues. 	Low	Low	1-Least Relevant Stakeholders
	Industry	<ul style="list-style-type: none"> ■ Including industry peers, competitors, as well as industry associations. 	Low	Low	1-Least Relevant Stakeholders
	Public security	<ul style="list-style-type: none"> ■ State public forces 	Low	Low	1-Least Relevant Stakeholders

3.4 Stakeholder Engagement Strategy

3.4.1 Stakeholder Engagement Strategy Based on the Typical Interest – Influence Approach

Based on the results of stakeholder analysis, the stakeholder engagement process will be structured and implemented based on the level of influence and strategy as illustrated below.

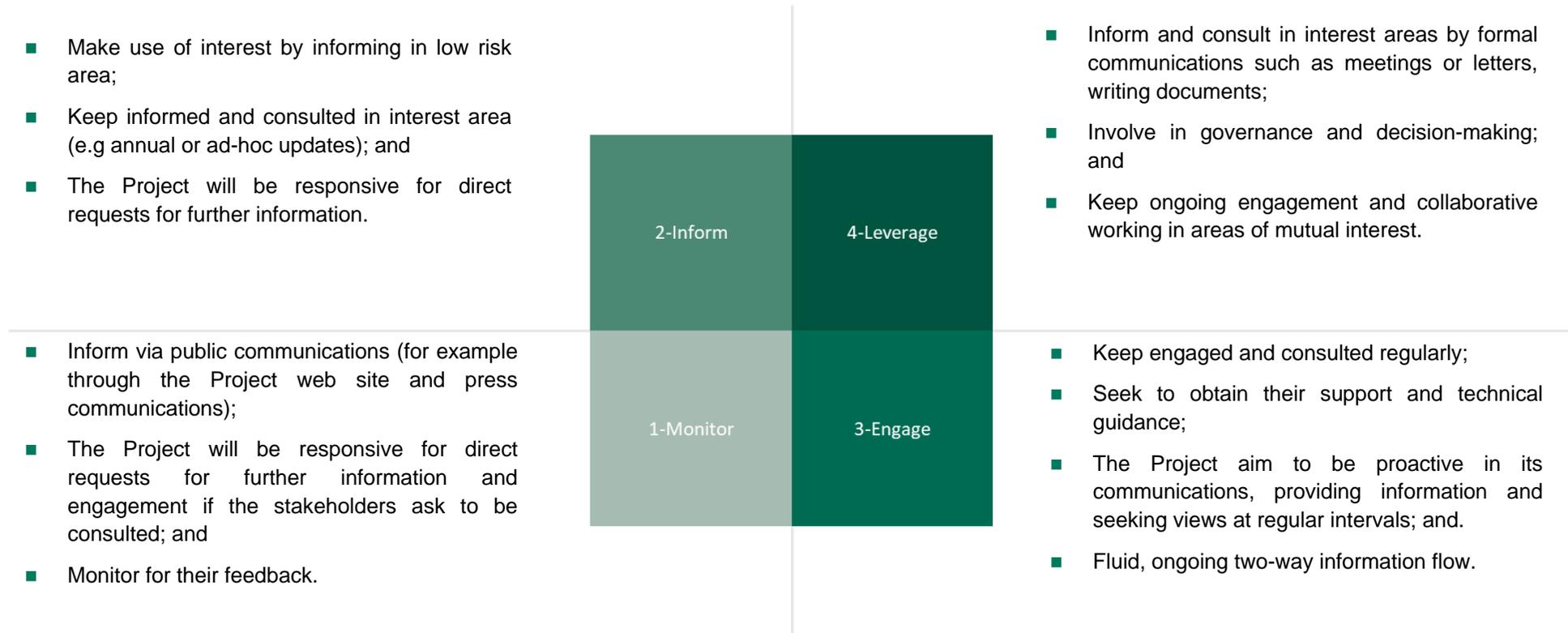


Figure 3.3 General Stakeholder Engagement Based on Interest – Influence Strategies

3.4.2 Human Rights-Based Stakeholder Engagement Considerations

Detailed of considerations for human rights based stakeholder engagement is stated in Appendix B. This section is to highlight key points to consider when engaging with each stakeholder groups, including:

- Right-holders;
- Duty-bearers; and
- Other relevant parties.

3.4.2.1 Engagement with Right-Holders

Engagement and participation opportunities should in the first place prioritise potentially affected rights-holders and/or their legitimate representatives, with particular attention to vulnerable individuals and groups.

A human rights-based approach to impact assessment requires that engagement of rights-holders is conducted in a non-discriminatory manner and requires that the prioritisation of especially vulnerable or marginalised individuals or groups (e.g. women, elderly, children and youth, minorities and indigenous peoples) is taken into consideration.

In addition to the cross-cutting right and principle of non-discrimination, as flagged above, there are a number of rights-holder groups who enjoy specific protection under international human rights law, including children, women, indigenous peoples, and persons with disability. This is based on the recognition that specific individuals may have particular characteristics that warrant extra attention and protection. For example, the particular needs and rights of women with regard to reproductive health, the fact that children's bodies react differently to environmental pollutants, or the special relationships of indigenous peoples to their lands, territories and waters. It is also based on a recognition that such rights-holders may be subject to systemic and entrenched discrimination in certain contexts.

3.4.2.2 Engagement with Duty-Bearers

The human rights framework places particular emphasis on accountability, including through the recognition of rights-holders' entitlements and the corresponding obligations of duty-bearers to uphold rights. It is therefore important that duty-bearers and their obligations are identified in stakeholder analysis and engagement. This includes recognising and differentiating between the expectation that businesses respect human rights, and State duty-bearers' obligations to respect, protect and fulfil human rights. It should be noted that duty-bearers can also be rights-holders; for example in the case of company managers, who can be held accountable for human rights impacts, but can be negatively impacted themselves as well.

3.4.2.3 Engagement with Other Relevant Parties

In addition to the above rights-holders and duty-bearers, there are a number of other relevant parties who should be engaged in the process. These stakeholders may include individuals whose rights are not impacted by the project, but who may nevertheless usefully inform the human rights issues, for example representatives from civil society, experts or journalists; and/or organisations that hold relevant and important information for the human rights management. It is particularly important to engage human rights actors as part of the human rights management process. These could include: NGOs and/or CSOs working on specific human rights issues; intergovernmental agencies such as the Office of the High Commissioner for Human Rights in the specific country, or other agencies working on specific rights issues such as the ILO on labour rights, or UNICEF on children's rights; national human rights institutions; and independent human rights experts.

4. INDIGENOUS PEOPLES AND ENGAGEMENT REQUIREMENTS

4.1 Indigenous Peoples Identification and Engagement Requirements

4.1.1 General Engagement Requirements for Indigenous Peoples

There is no universally accepted definition of Indigenous Peoples. Indigenous Peoples may be referred to in different countries by such terms as “indigenous ethnic minorities,” “aboriginals,” “hill tribes,” “minority nationalities,” “scheduled tribes,” “first nations,” or “tribal groups”. IFC PS7 recognizes that Indigenous Peoples, as social groups with identities that are distinct from mainstream groups in national societies, are often among the most marginalized and vulnerable segments of the population. These section below is revealed the identification and presence of Indigenous Peoples within the Project’s area and engagement requirements according to AIIB ESS3 and IFC PS7.

There is a wide spectrum of engagement levels with different stakeholders as mentioned in Section 3. Effective consultation needs have a free flow of a two-way process, where each person listens to what the others have to say and considers what it means, and in return is listened to. IFC PS1 and 7 require that the Project conducts an Informed Consultation and Participation (ICP) process that results in the informed participation of the affected communities.

For projects with adverse impacts to Indigenous Peoples¹⁴ as the defined term following AIIB ESS3 and IFC PS 7, the Client is required to engage them in a process of ICP. Moreover, according to the AIIB ESS3, since Indigenous Peoples may be particularly vulnerable to the loss of, alienation from, or exploitation of their land and access to natural and cultural resources, engage in Free, Prior and Informed Consultation¹⁵ (FPICon) and obtain the broad support of the affected Indigenous Peoples.

Lastly, if the AIIB has determined, pursuant to paragraph 61 of the AIIB ESP, that the laws of the country in which the Project is located mandate Free, Prior and Informed Consent¹⁶ (FPIC), and that the Client

¹⁴ AIIB ESS3 and IFC PS7 defines Indigenous Peoples as a distinct social and cultural group possessing the following characteristics in varying degrees:

- Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the nature resources in these habitats and territories;
- Customary cultural, economic, social and political institutions that are separate from those of the mainstream society or culture; and
- A distinct language or dialect, often different from the official language or languages of the country or region in which they reside

Also, under AIIB ESS3, a group that has lost collective attachment to geographically distinct habitats or ancestral territories in the Project area because of forced severance remains eligible for coverage, as an Indigenous People.

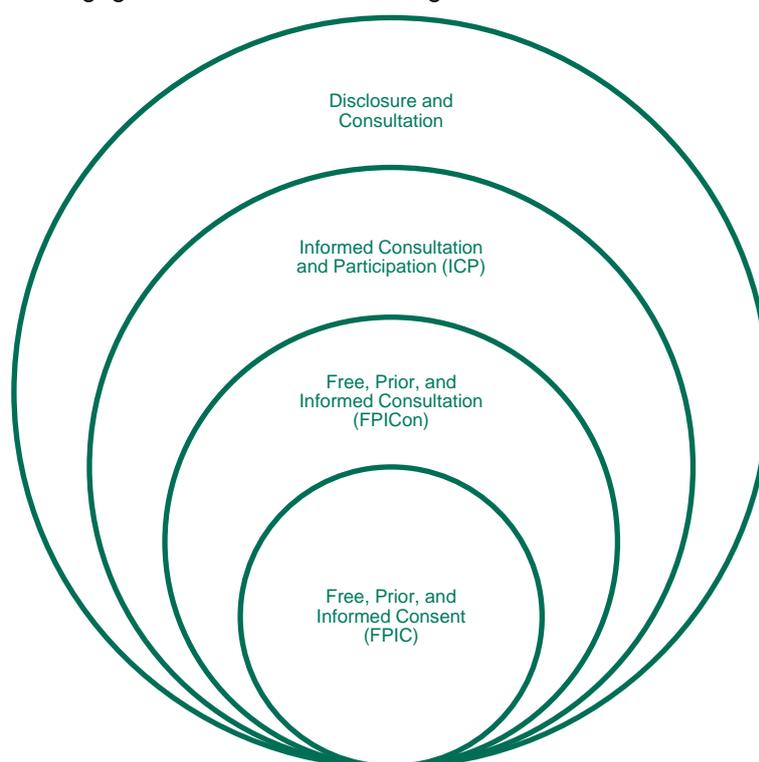
¹⁵ FPICon is required if activities under the Project would:

- Have impacts on land and natural resources subject to traditional ownership or under customary occupation or use;
- Cause relocation of Indigenous Peoples from and limitations on access to natural resources subject to traditional ownership or under customary occupation or use; or
- Have significant impacts on Indigenous Peoples’ cultural heritage.

¹⁶ Free, Prior, and Informed Consent as defined follow IFC PS7 below:

- Impacts on land and natural resources subject to traditional ownership or under customary use;
- Relocation of Indigenous Peoples from lands and natural resources subject to traditional ownership or under customary use;
- Significant impacts on critical cultural heritage that is essential to the identity and/or cultural, ceremonial, or spiritual aspects of Indigenous Peoples lives, including natural areas with cultural and/or spiritual value such as sacred groves, sacred bodies of water and waterways, sacred trees, and sacred rocks; or
- Critical cultural heritage including knowledge, innovations or practices of Indigenous Peoples for commercial purposes.

is required to apply FPIC, apply FPIC as defined in those laws, in the manner required by the Bank. Levels of stakeholder engagement are illustrated in Figure 4.1.



Source: AIB ESS3 and IFC PS7

Figure 4.1 AIB ESS3 and IFC PS7 Stakeholder Engagement Spectrum

4.1.2 Identification of Indigenous People in the Project Area according to AIB ESS3 and IFC PS7

4.1.2.1 Presence of Ethnic Groups in the Project Area

The Central Highlands is one of the regions with a large number of ethnic minorities presence and diversity of ethnic composition (see Table 4.1). According to statistics of the completed results of the 2019 Vietnam Population and Housing Census, the Central Highlands has the population of 5,842.7 thousand people (accounting for 6.1% of the Vietnamese population), of which Kinh people account for 62.3% of the total region's population¹⁷. This region is the home of 52 out of the 54 existing ethnic groups in Vietnam.

Table 4.1 Population of Provinces in the Central Highlands

Province	Total Population	Kinh Population	Ethnic minority Population	Percentage of Ethnic Minority Population (%)
Kon Tum	540,438	243,572	296,866	54.9
Gia Lai	1,513,847	814,056	699,791	46.2
Dak Lak	1,869,322	1,202,000	667,322	35.7
Dak Nong	622,168	419,808	202,360	32.5
Lam Dong	1,296,906	963,290	333,616	25.7

¹⁷ GSO (2020)

Province	Total Population	Kinh Population	Ethnic minority Population	Percentage of Ethnic Minority Population (%)
Total	5,842,681	3,642,726	2,199,955	37.7

Source: Vietnam Population and Housing Census (2019)

By 2019, Dak Lak had 1,869,322 inhabitants of 50 ethnic groups, excluding foreigners and unidentified ethnic minority people. The Kinh group numbered 1,202,000 (64.3% of the Dak Lak population), the Ede population was 351,278 people (18.8%), and the other ethnic minority groups had 316,044 people (16.9%)¹⁸. Dak Lak had 184 communes in ethnic minority areas with 2,485 villages¹⁹.

The Krong Buk district has 14 ethnic minority groups²⁰ with 24,344 people from 5,397 households, accounting for 32.2% of the total district population²¹. Of the ethnic minority population, there are 5,080 households with 23,238 people recognised as indigenous ethnic minority groups. Ede is the main ethnic minority group in the district while other ethnic minorities such as Muong, Tay, Thai, Nung, and Dao only account for a small population.

Four Project-affected communes include Cu Ne, Cu Pong, Ea Sin, and Chu Kbo. Cu Pong and Cu Ne communes are predominant with Ede ethnic minority communities. Potentially affected communities include:

- Cu Hriet and Ea Bro villages of Cu Pong commune;
- Ea My village of Ea Sin commune;
- Kdro 1, Kdro 2, Drah 1, Drah 2, Ea Kung, Ea Siek, Ea Krom, Kmu, and Ea Nguoi villages of Cu Ne commune;
- Kty 4 and Kty 5 villages of Chu Kbo commune.

Of the 14 affected villages, seven ethnic minority villages (*Buôn*) including Cu Hriet, Ea Bro, Kdo 1, Kdo 2, Drah 1, Drah 2, and Kmu have a high proportion of Ede people. Specifically, Drah 1 has 100% of Ede households while in the remaining villages, Ede households account for from 50% to over 90%. Meanwhile, the proportion of ethnic minority households in Kinh dominant villages such as Ea My, Ea Siek, Ea Nguoi, Ea Kung, Kty 4, and Kty 5 remains modest. In these villages, Ede group with other Muong, Thai, and San Dui ethnic minority groups have been integrated with the Kinh majority.

4.1.2.2 Indigenous People Screening - AIIB ESS3 and IFC PS7 Applicability

AIIB ESS3 and IFC PS7 defines Indigenous Peoples as a distinct social and cultural group possessing the following characteristics in varying degrees:

- Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the nature resources in these habitats and territories;
- Customary cultural, economic, social and political institutions that are separate from those of the mainstream society or culture; and
- A distinct language or dialect, often different from the official language or languages of the country or region in which they reside.

¹⁸ General Statistics Office (2020)

¹⁹ Committee for Ethnic Minority Affairs and GSO (2019)

²⁰ Krong Buk District Ethnic Minority Affairs Office (2021)

²¹ Krong Buk District Ethnic Minority Affairs Office (2021)

Based on the IP screening in Table 4.2, it is concluded that the Ede (“Ê-đê”) located in the Project’ area fulfil all four characteristics of IPs as per AIIB ESS3 and IFC PS7, therefore ERM recommends that the current project considers the Ê-đê as IPs and that the AIIB ESS3 and IFC PS7 provisions apply to them. The engagement of the Project will be conducted in the form of Informed Consultation and Participation (ICP).

Table 4.2 Indigenous People Screening and Identification

Characteristics	Ede	Conclusion
Self-identification (as members of a distinct indigenous cultural group and recognition of this identify by others)	The Ede recognised by the Government of Vietnam as distinct ethnic groups. The Ede are the 12th most populous of the 54 ethnic groups in Vietnam ²² .	Yes, it could be confirmed that the Ede people obtain the characteristics of self-identification and recognition of this identity by others as a distinct ethnic group
Collective attachment (to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories)	The Ede have lived in their own villages in the Project's areas and Dak Lak for generations. Originally, the Ede moved to Vietnam's central region and then to the central highlands between the 8th century and the 15th century. They live Dak Lak, Gia Lai, Khanh Hoa and Phu Yen province.	Yes. Ede have collective attachment to the project area and the natural resources.
Customary Institutions (cultural, economic, social or political institutions that are separate from those of the mainstream society or culture)	<p>Even though the Ede communities have well integrated into the national mainstream development, their cultural, economic, social or political institutions, to a large extent, are distinctive. Traditionally, the Ede enjoyed a considerable degree of autonomy vis-à-vis the Kinh (Vietnamese). Ede society was organised around the basic elements of family, longhouse, and village in descending order of importance.</p> <p>Their traces are reflected in epics, architecture, fine-arts and folklore. Ede families are matriarchal.</p> <p>Previously, the Ede were engaged in hunting, fishing, farming, knitting and weaving. Now they practice the alternation of crops and plant industrial trees like coffee, rubber, pepper and cacao. Some raise buffaloes, cows, and elephants. Ede handicraft items include cloth, bronze, wooden and pottery products and jewellery.</p> <p>Many traditional Ede festivals are maintained, including the buffalo stabbing festival, the house warming ritual, and the adulthood ceremony. The Ede boast their rich folklore, which has been passed down orally. Their myths, fairy tales, proverbs and Khan Dam San and Khan Dam Keth M'lan epics are famous throughout Vietnam. In terms of</p>	Yes. Ede had separate socio-cultural institutions that were different from the mainstream Kinh ethnic majority community.

²² Committee for Ethnic Minority Affairs Web Portal, January 2016. The Ede ("Ê-đê"). Available at <http://english.ubdt.gov.vn/vietnam-image-of-the-community-of-54-ethnic-groups/the-e-de.htm> (Accessed on 30 July 2021)

Characteristics	Ede	Conclusion
	<p>performance, it is a type of immersion accompanied by some movements to convey emotions. Regarding folk songs, there are quizzes, genealogy songs.</p> <p>Ede music is famous for its gong set. No festival, no cultural activity of the community can be absent from the sound of gongs. Besides the gongs, there are musical instruments made of bamboo and dried gourd shells which are like other ethnic minority groups in Central Highlands but made with their unique techniques.</p> <p>The traditional house of the E De is a long stilts house with a wooden-boat-shaped architecture with two basic features that two erected walls are wider in the upper and narrower in the lower part; and two roof tops protrude.</p> <p>Ede costume constitutes a high level of aesthetic and sensational values. Red and black dominate the Ede's costume colour</p>	
<p>Distinct Language (or dialect, often different from the official language or languages of the country or region in which they reside)</p>	<p>The Ede language belongs to the Cham and the Malayo-Polynesian language group. According to the village patriarch of Tuor Y Thut Bya, since the early time, the Ede people talk to each other by their own language and tend to use Vietnamese to communicate with those who do not understand the Ede language. The preservation of their language was stipulated in the village conventions. However, many local Ede teenagers have recently hesitated to communicate in their own language. The other recorded situation is that there are just few Ede people being proficient in writing although all of people in Ede community being master in speaking their own language.</p>	<p>Yes. Ede was considered to be the distinct language, which is different from the official language in Vietnam.</p>

Source: ERM Scoping Site visit during ESIA development, May 2021.



Ede traditional costume during wedding event



Traditional music instrument



Ede traditional house



Ede woman in her house



Ede traditional house



Bride and Groom in Ede Culture

Source: ERM socio-economic baseline, July 2021

Figure 4.2 Photos of Ede Traditional Costumes, Musical Instruments, and Traditional Houses

4.1.2.3 AIIB ESS3-FPICon and IFC PS7-FPIC Applicability Assessment

In addition to the general requirements of PS7, project proponents are required to obtain FPIC of the affected communities of IPs in circumstances described in paragraphs 13-17 of PS7 that is applicable to project design, implementation, and expected outcomes related to impacts affecting the communities of IPs. FPIC is required if projects are associated with any of the potentially adverse impacts identified below:

- Impacts on lands and natural resources subject to traditional ownership or under customary use;
- Relocation of Indigenous Peoples from lands and natural resources subject to traditional ownership or under customary use;
- Significant impacts on critical cultural heritage that is essential to the identity and/or cultural, ceremonial, or spiritual aspects of Indigenous Peoples lives, including natural areas with cultural and/or spiritual value such as sacred groves, sacred bodies of water and waterways, sacred trees, and sacred rocks; or
- Use of cultural heritage, including knowledge, innovations, or practices of Indigenous Peoples for commercial purposes.

To date, the assessment indicates that FPICon/FPIC is not applicable to the Project. The relevance of these special circumstances is assessed in Table 4.3.

Table 4.3 FPICon/FPIC Identification

Circumstance	Observations	Applicability
Impact on lands and natural resources subject to traditional ownership or under customary use	Land acquisition from households is required. The use of land from 44 local households were transferred to the Project via recent land use right-holders who reside in Hanoi and Haiphong. These 44 land plots are used for turbine construction, which is required to follow the land use conversion process. The land for the construction of remaining turbines, access and internal roads, transmission lines, and substation will be a State-led acquisition process under the support by the District's Land Fund Development Center. Based on ERM's site observations and discussions with Land Fund Development Center, People' Committees of affected communes and local communities, including Ede communities, the Project will acquire land used by households and a Coffee Company Ltd. As such, there is no potential impact on lands and natural resources subject to traditional ownership or under customary use. More details are provided in Vol 3 of the ESIA.	Not Applicable
Relocation of IPs from lands and natural resources subject to traditional ownership or under customary use	All of Project affected households relate to economical displacement. According to the information provided at the moment this ESIA was prepared, it seems that there will not be relocation due to land acquisition for this Project, nevertheless the land acquisition process has not yet concluded. It is important to note that relocation might need to take place due to land acquisition impacts linked to noise sensitive receptors, shadow flickering and blade throw. ERM would need to verify these through additional fieldwork that is the exact number and type of residential dwellings and if so, perform consultations with affected households through this additional	Not Applicable

Circumstance	Observations	Applicability
	fieldwork. According to the information provided by the Project Owner and local authorities, physical displacement (if any), would involve relocation of IPs from their household's land, not land or natural resources subject to traditional ownership or under customary use by IPs.	
Significant impact on critical cultural heritage	Based on current location and design of the project component and ERM's consultations with local authorities and affected IP communities, no significant impacts on Ede critical cultural heritage are anticipated. There is no Ede critical cultural heritage located within the Project areas.	Not Applicable
Commercial use of cultural heritage	The project will not make commercial use of Ede cultural heritage or traditional knowledge and practices.	Not Applicable

Source: ERM Socio-economic baseline survey, July 2021

4.1.2.4 Conclusion and Applicability Scope of AIIB ESS3 and IFC PS7 in the Project

In general, the applicability scope of IFC PS7 is defined for the Project as follows:

- The Ede communities affected by the Project are considered as IPs in accordance with the four characteristics required by IFC and AIIB;
- The AIIB ESS3 and IFC PS7 provisions are applicable to Ede communities within Project areas;
- Mitigation measures should be tailored to the specific circumstances of the Affected Communities of Ede in considering their attachment to the larger regional IPs population and integration into the mainstream society; and
- FPICon/FPIC is not applicable to the Project so Broad Community Support (BCS) is not required and documented as FPICon outcome.

In compliance with AIIB ESS3 and IFC PS7 requirements, the Project is recommended to:

- Disclose and on-going consultation with affected IPs based on Informed Consultation and Participation (ICP);
- Include an analysis of vulnerability of IPs communities;
- Design and implement as soon as possible an IPP to make sure that the IPs may receive the benefit from the project;
- Confirm any displacements (physical or economic), especially the IPs through a land acquisition audit.

4.1.3 Informed Consultation and Participation (ICP) Guidance and Process with Indigenous Peoples

"When consulting with Indigenous Peoples, involve the representative bodies in the prior design of materials for disclosure, and in deciding how people and groups wish to be accessed, location where the consultations will take place, the chronology of consultation (there may be expectations of who will be consulted in what particular order) and the language and format to be used during the consultations. Also, allow sufficient time for collective decision-making processes, and review the grievance mechanism established for this phase of the project to make sure it is appropriate and accessible."²³

²³ International Finance Corporation. May 2007. Stakeholder Engagement: A Good Practise Handbook for Companies Doing Business in Emerging Markets

Depending on the content, requirements, target and timeframe of each management plan (e.g. ESIA disclosure, environmental and social management plans), the engagement will be different.

The Projects are required to follow an ICP process which involves organised and iterative consultation and in-depth exchange of views and information, leading to the inclusion of the views of the affected communities into the Project's decision making related to proposed mitigation measures, sharing of development benefits and opportunities, and implementation issues. According to the AIB ESS3, carry out a process of meaningful consultation on the Project with affected Indigenous Peoples communities and concerned Indigenous Peoples organisations, in a culturally and language appropriate, accessible and inclusive manner, and facilitate their informed participation.

The process of ICP entails consultation that occurs freely and voluntarily, without any external manipulation, interference or coercion, and without intimidation. ICP builds upon the following steps:

- Begin early in the process of identification of environmental and social risks and impacts and continue on an ongoing basis as risks and impacts arise;
- Be based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information which is in a culturally appropriate local language(s) and format and is understandable to affected communities;
- Involve two-way communication between the Project and involved parties;
- Focus on gender inclusive engagement on those directly affected as opposed to those not directly affected, such as men, women, the elderly, youth, displaced persons, and vulnerable and disadvantaged persons or groups;
- Be free of external manipulation, interference, coercion, or intimidation;
- Include community leaders and members of any formal or informal existing decision-making mechanisms;
- Enable meaningful participation, where applicable; and
- Be documented. If the Project has already engaged in such a process, adequate documented evidence of such engagement should be provided.

During the ESIA process through 2021, local engagement attempted to include perspectives and ideas from a wider range of stakeholders and inclusive community participation, especially Ede IP out of affected people, village leaders in affected communes and focused groups discussion including Ede ethnic minorities' representatives.

Future engagement and consultation with local communities of the Project (see Section 9) requires the compliance of the principles and steps of ICP as described above. This engagement process includes stakeholder analysis and engagement planning, disclosure of information, consultation, and participation, in a culturally appropriate manner.

- Project's engagements with local communities need to ensure the recruitment of participants from diverse backgrounds and viewpoints;
- Involving Indigenous Peoples' representative bodies and organizations (e.g. councils of elders or village councils), as well as members of the Affected Communities of IPs;
- Communication channels and consultation methods should be further clarified and justified, to ensure they are culturally appropriate and reach all relevant stakeholders, including vulnerable groups;
- Organizing the face-to-face interactions/meetings and using indigenous languages where appropriate and/or the translator; and
- Provide sufficient time to fully consider and address Indigenous Peoples' concerns and suggestions for Indigenous Peoples' decision-making processes.

Informed participation is a more intensive and active form of consultation. It involves in-depth exchange of information, and joint analysis and decision making. Stakeholder groups who are materially affected by the Project are encouraged to participate in the Project's information disclosure and consultation. To ensure informed and meaningful participation, participatory tools and techniques can be applied, especially in situations of low education, or high controversy or complexity. Some of participatory tools include:

- Participatory rural appraisal techniques;
- Participatory workshops;
- Focus groups;
- Semi-structured interviews;
- Role play;
- Poverty and vulnerability mapping;
- Local institutional analysis.

In certain situations, capacity building may be needed to enable effective participation of affected stakeholders. Examples are inclusive decision making mechanism, cross visit of comparable projects or legal advice access.

As a process, five typical steps should be followed to ensure iterative consultation, including: (i) planning ahead; (ii) consultation based on basic principles of good consultation practice; (iii) feedback incorporation; (iv) documentation of the process and results of consultation; and (v) reporting back. Main contents of steps are illustrated in Figure 4.3.



Sources: Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets

Figure 4.3 Five Steps of Iterative Consultation

Grievance mechanism for IPs should be established culturally appropriate and gender inclusive grievance mechanism to receive and facilitate resolution of affected Indigenous Peoples’ concerns and grievances regarding the Project’s environmental and social performance, and inform them of its availability (see further in section 6).

4.2 Techniques for Information Disclosure and Consultation

Community consultation is highly proposed during the consultation with local authorities and key informants at the district, commune, and village levels and local households. Community consultation aims to disseminate the Project information, receive and address local opinions related to the Project timeline, compensation for potential land acquisition, and road renovation upon the completion of the Project construction phase. This would help develop a highly visible presence of the Project within the local community and build trust between the Project and other key stakeholders. The community consultation should be made available to the local people from the potentially affected communities in an appropriate form, manner, and language, specifically:

- It is crucial to invite all villagers, including men and women, vulnerable and non-vulnerable people to the meetings to get their perspective on the Project activities when necessary.
- The community consultation may be organised through face-to-face interactions or meetings. This needs to include translation of the Project documents into local ethnic language by using interpreters at community meetings.
- Pictorial communications and visualised tools will be used frequently during consultation or group meetings.

The community consultation may be organised in the cultural house and at an appropriate time with consideration to local production schedule.

Throughout the Project life cycles, the Projects are required to implement several disclosure and consultation sessions with multiple stakeholders in different levels as presented in Section 3. Table 4.4 proposed a series of techniques for information disclosure and consultation that the Projects can adopt for future engagements.

Table 4.4 Techniques for Information Disclosure and Consultation

Techniques		Information Disclosure to the Public	Public Consultation
Printed Material	Brochures, Report Summaries, Newsletters	✓	
	Displays and exhibits	✓	✓
	Direct mail	✓	
Using Existing Media	Newspapers	✓	
	New conferences	✓	✓
	Newspaper inserts	✓	
	Radio and TV, including commune's radio system	✓	✓
	Advertising	✓	
Public Information Sessions	Exhibitions and scale models	✓	✓
	Open houses	✓	✓
	Videos	✓	
	Targeted briefings	✓	✓
Surveys	Households questionnaires	✓	✓
	Sampled questionnaires	✓	✓
	Polls	✓	
	Perception surveys, attitude surveys	✓	✓
Individual Meetings	Stakeholder representatives	✓	✓
	Key informants (e.g. school teachers, religious leaders, village heads)		✓
	Stratified sampled interviews (e.g. stratified by livelihoods, ethnicity, gender)		✓
	Focus groups (e.g. resource mapping, seasonal calendar)		✓

Techniques		Information Disclosure to the Public	Public Consultation
Small Group Meetings	Public seminars	✓	✓
Large Group Meetings	Public meetings or open house meetings	✓	✓
	Public hearings	✓	✓
	Conferences/ Town hall	✓	✓
Other	Telephone hotline	✓	✓

4.3 Gender Considerations in Consultation

It is important to keep in mind that it is likely that the project will affect men and women differently. In most societies, men and women play different roles within the private and public spheres. With these different and complex roles come differential access to resources and finances, to contacts and relationships, to personal skills development, and to opportunity and power.

The following tips may be helpful when thinking about how to more fully integrate women's perspectives into the consultation process²⁴:

- Get the full picture: men and women often have different priorities, different perspectives on key issues, and may be differentially impacted by a project or program – with women bearing disproportionate negative impacts. Good practice encourages seeking out the views of women, because they provide companies with a more complete picture of potential risks, impacts, and opportunities relating to their project.
- Disaggregate the data: During the course of the environmental and social assessment process, companies collect a good deal of information from affected communities and other stakeholders. To allow this data to better serve you in terms of understanding gender differences related to your project, it should be disaggregated by gender. Given that most interviews are done with the “head of household” – which usually means men – this requires finding other ways to get an equivalent female sample. Female-headed households are also an important group to target, since single mothers and widows are likely to represent some of the most vulnerable households in the community
- Get more women in the room: Often, the key to getting more women in the room is to make meetings more accessible and convenient. For example, consider providing child care near the meeting space; choose a time of day, date, and location convenient for women; ask networks with predominantly female membership to encourage their members to participate; and consider providing transportation to and from the meeting venue.
- Use active facilitation: Women's participation can be facilitated in public meetings or workshops through a number of different techniques, such as increasing the amount of time spent in smaller groups; having some group-work that is single sex. An alternative could be to have the first part of a workshop or meeting in plenary to explore community-wide issues, and then to divide into smaller working groups (e.g. women, men, youth, elderly) so that issues of concern or priority to those specific groups can be explored in greater detail.
- Hold separate meetings with female group: Since in many cultures women's voices are often not effectively present or heard in traditional meetings or workshops, it may be necessary to take special steps to create a venue in which women's own issues and concerns can be raised.

²⁴ IFC. USA. May 2007. Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets

Common practices include having focus group meetings with women, or calling separate women's meetings specifically for your purposes, or as an additional item at an existing meeting where women have gathered.

- Raise issues that may be a priority to women: Active intervention may be required to identify issues that are important to women and to make sure they are given equal weight. This includes getting such issues onto the meeting agenda, raising them in group discussions, and including them in survey questionnaires.
- Remember that "women" are not a homogenous group: All women will not necessarily have the same interests or priorities. Therefore, when involving women in consultations, attention is needed to ensure representation of different perspectives across socioeconomic, caste, ethnic, and religious lines. Marital status and age can also be important factors.

5. TO DATE STAKEHOLDER ENGAGEMENT

5.1 Stakeholder Engagement Prior to the ESIA Process

Pre-ESIA engagement activities of the Project has mainly implemented with the provincial (Dak Lak) and district (Krong Buk) authorities for:

- Business and investment registration and arrangement;
- Land use planning;
- Foreigner worker registration and approval;
- EPP development and registration;
- Construction permit.

The Project also carried out informal contacts with commune authorities and local communities during land acquisition process for the Project.

5.2 Stakeholder Engagement during ESIA Process

5.2.1 Multiple Methods of Engagement

During the ESIA process, the Project representatives and consultants have conducted intensive engagements with local authorities and communities, particularly IPs and vulnerable groups, via multiple approaches and methods, including:

- Meetings and semi-structured interviews with local authorities;
- Key informant interviews (KIIs);
- Focus group discussions (FGDs); and
- Household interviews.

Table 5.1 ESIA Stakeholder Engagements by Geographical Location and Method

Level of Administration				Number of Engagements			
Province	District	Commune	Village	Interviews with local authorities	KIIs	FGDs	Household Interviews
Dak Lak				4			
	Krong Buk			3			
		Cu Ne		1			
			Kdro 1		1	1	15
			Kdro 2		1	2	11
			Drah 1		1	1	11
			Drah 2		1	1	7
			Kmu		1		
			Ea Kung		1	1	5
			Ea Siek		1		
			Ea Krom		1		
			Ea Nguoi		1		
		Cu Pong		1	2		

Level of Administration			Number of Engagements			
		Cu Hriet		1	3	22
		Ea Bro		1	2	24
	Ea Sin		1	2		
		Ea My		2	1	28
	Chu Kbo		1			
		Kty 4		1	1	11
		Kty 5		1	1	10
Total			11	19	14	144

Source: Socio-economic survey conducted by ERM, May and July 2021

5.2.2 Engagement with Local Authorities and Relevant Organisations

5.2.2.1 Engagement with Local Authorities and Relevant Organisations

Using semi-structured interviews, ERM collected updated information on the socio-economic conditions of the area as well as the key concerns and perceptions of local authorities about the Project. Suggestions were also presented to the Project for environmental and social performance management and impact mitigation. This consultation assisted the team in confirming development trends and any changes in socio-economic conditions, infrastructure, and public services (see Figure 5.1).

The consultation process also aimed to inform stakeholders about Project progress, while assessing awareness at different levels and identifying some of the key issues, concerns, and expectations of the community (see Table 5.2). The minutes of meetings are provided in Appendix C.

Table 5.2 Consultation with Local Authorities

Interviewed Group	Organisations	Date of Consultation	Topics Covered in the Meetings
Provincial level	Department of Natural Resources and Environment (DONRE)	15 July 2021	<ul style="list-style-type: none"> ■ Update about Project progress and current status of the ESIA; ■ Obtain data related to natural resources and environmental and biological conditions of the Project areas; and ■ Gain feedback or perceptions about the Project development.
	Department of Labour, Invalid, and Social Affairs (DOLISA)	15 July 2021	<ul style="list-style-type: none"> ■ Update about Project progress and current status of the ESIA; ■ Obtain data related to labour and employment issues of the province and Project's expat labour working and local recruitment; and ■ Gain feedback or perceptions about the Project development.
	Department of Foreign Affairs (DOFA)	15 July 2021 (indirect response ²⁵)	<ul style="list-style-type: none"> ■ Update about Project progress and current status of the ESIA;

²⁵According to the Letter No. 565/SNgV-LS dated 12 July 2021 issued by DOFA (see in Appendix C), DOFA refused the meeting with the Project Owner and ERM due to the COVID-19 situation. Nevertheless, DOFA sent to us the list of existing NGOs currently work in the Dak Lak province as stated in Appendix J. None of perceptions has been recorded.

Interviewed Group	Organisations	Date of Consultation	Topics Covered in the Meetings
			<ul style="list-style-type: none"> ■ Obtain data related to foreign supporting programs for ethnic minority and vulnerable groups in the province and Krong Buk; and ■ Gain feedback or perceptions about the Project development.
	Women's Union	15 July 2021	<ul style="list-style-type: none"> ■ Update about Project progress and current status of the ESIA; ■ Obtain data related to women's development policies and programs for women in the province and Ede women in the Project area; and ■ Gain feedback or perceptions about the Project development.
District level	Krong Buk District People's Committee (DPC)	16 July 2021 (informal discussion with District Chief of staff ²⁶)	<ul style="list-style-type: none"> ■ Update about Project progress and current status of the ESIA; ■ Obtain up to date socio-economic data regarding demography, infrastructure and public services, health, livelihoods and employment, and cultural sites in the district; and ■ Gain feedback or perceptions about the Project development.
	Krong Buk District Land Fund Development Center (LFDC)	14 July 2021	<ul style="list-style-type: none"> ■ Update about Project progress and current status of the ESIA; ■ Obtain data related to land use and management of the district and Project's land acquisition update; and ■ Gain feedback or perceptions about the Project development.
	Krong Buk District Committee for Ethnic Minority Affairs	16 July 2021	<ul style="list-style-type: none"> ■ Update about Project progress and current status of the ESIA; ■ Obtain data related to ethnic minority development policies and programs; and ■ Gain feedback or perceptions about the Project development.
Commune level	Cu Pong Commune People's Committee (CPC)	19 May 2021	<ul style="list-style-type: none"> ■ Update about Project progress and current status of the ESIA; ■ Obtain up to date socio-economic data regarding demography, infrastructure and public services, health, livelihoods and employment, and cultural sites in the commune; ■ Gain feedback or perceptions about the Project development; and ■ Obtain acceptance and support from the People's Committee to conduct the household survey in the area.
	Cu Ne CPC	13 July 2021	
	Ea Sin CPC	13 July 2021	
	Chu Kbo CPC	14 July 2021	

Source: Socio-economic survey conducted by ERM, May and July 2021

²⁶ Due to the COVID-19 situation in this area, there were no formal meeting organised in Krong Buk DPC. The Krong Buk DPC assigned Mr. Dam Dinh Oanh (District Chief of Staff) to coordinate with relevant divisions (e.g. Krong Buk District Committee for Ethnic Minority Affairs, Statistic division) to collect the secondary data/reports. None of perceptions has been recorded.



Consultation with Dak Lak Department of Natural Resource and Environment, 15 July 2021



Consultation with Dak Lak Women's Union, 15 July 2021



Consultation with Krong Buk Land Fund Development Center, 15 July 2021



Consultation with Krong Buk Committee for Ethnic Minority Affairs, 16 July 2021



Consultation with Ea Sin Commune People's Committee, 13 July 2021



Consultation with Cu Ne Commune People's Committee, 13 July 2021

Source: Socio-economic survey conducted by ERM, July 2021

Figure 5.1 Consultations with Local Authorities

5.2.2.2 Perceptions from Interviewed Authorities

The perceptions of local authorities regarding environmental, health, social, and economic issues related to the Project, collected from the aforementioned engagement activities, are summarised in Table 5.3.

Table 5.3 Perceptions from Authorities during ESIA Engagement

No	Comments of Stakeholders	Criteria				Response from the Project Representatives ²⁷
		Environmental	Health & Safety	Social	Technical	
Department of Natural Resources and Environment (DONRE)						
1.	The use of water needs to set up exploration procedures, apply for a mining license issued by the Department of Natural Resources and Environment during the time of use and after the use period, it is necessary to fill the mining area according to regulations	✓	✓		✓	Noted for future actions.
2.	Climate change is not currently being evaluated, and an impact assessment committee should be formed.	✓		✓		
3.	DONRE requests the Project Owner to share the final ESIA with them	✓	✓	✓	✓	
Department of Labour, Invalid, and Social Affairs (DOLISA)						
4.	DOLISA is responsible for the Work Permit of foreign workers. Contractors who hire foreign workers are required to submit reports on a regular basis (6 months or 1 year). When the labor permit expires, contractors must notify the department and return the work permit.			✓		Noted for impact assessment and proposed measures
5.	DOLISA recommends the Project Owner to ensure the lives of people affected by the project.	✓	✓	✓		
Provincial Women's Union						
6.	The Provincial Women's Union showed their high appreciation for the Project's consultation with the women's organisation.			✓		Noted for future development projects.
7.	The Women's Union suggests the Project Owner to create livelihoods, local social security programs impacted by the project, build playgrounds, sports, fitness for the community, and kindergarten construction.		✓	✓		

²⁷ Due to the availability of the Project Representatives, the meetings with Ea Sin, Chu Kbo, and Cu Ne CPC has been conducted with the present of the Project Representatives.

No	Comments of Stakeholders	Criteria				Response from the Project Representatives ²⁷
		Environmental	Health & Safety	Social	Technical	
Krong Buk District Land Fund Development Center (LFDC)						
8.	Ensure the compensation and reasonable support for local people, especially ethnic minorities			✓		Noted for impact assessment and proposed measures
9.	Support the ethnic minorities via development programs (e.g. vocational training, job recruitment)			✓		
Krong Buk District Committee for Ethnic Minority Affairs (CEMA)						
10.	CEMA showed their high appreciation for the Project's consultation with the organisation.	✓	✓	✓	✓	Noted for future engagement plan, impact assessment and design of mitigation measures and development interventions
11.	CEMA have not clarity about the Project information. Many industrial projects pay little attention on ethnic minority affairs.	✓	✓	✓	✓	
12.	In terms of Ede cultural values, people often organize a ceremony before conducting any activities. The Project may consider this issue before commencing any activity in the locality.			✓		
13.	Local people are concerned about long-term impacts of the project on their agricultural production, the influx of migrant foreign people who come to work in the locality, and land acquisition process			✓		
14.	Environment pollution and infrastructure degradation during the Project construction need to be mitigated and controlled to ensure local living conditions of ethnic minority households	✓	✓			
15.	CEMA proposes the Project Owner to support the community development such as: social welfare fund for local people, supporting local agricultural production such as breeding (cows, pigs and goats), seeding (high-yield crops) or agricultural inputs and training, and job creation for the local			✓		
Cu Pong Commune People's Committee (CPC)						
16.	Currently, the CPC has not been updated with sufficient information on the Project's status and schedule	✓	✓	✓	✓	Noted for future engagement plan, impact assessment and design of mitigation measures and development interventions
17.	During the construction phase, Cu Pong CPC has confirmed that there are some specific impacts induced from the Project implementation including dust and concentrated traffic density at local area caused by heavy-duty vehicles. The quality of the existing road systems are estimated not to meet the	✓	✓	✓	✓	

No	Comments of Stakeholders	Criteria				Response from the Project Representatives ²⁷
		Environmental	Health & Safety	Social	Technical	
	demand in case of the competition of the Project development. The CPC recommends to reinstate the local roads to the initial state after the completion of the Project construction					
18.	Regarding the land acquisition, the CPC has not been updated with any specific procedures from the Project Owner. Presently, the situation recorded is the private purchase between the Project Owner and local people who are in the list of land acquisition at the notary public's office			✓		
19.	The CPC expects that the Project's owner shall develop and apply sufficiently preventive and mitigation measures to protect people's life and properties during the construction phase, particularly in rainy and stormy season with strong wind	✓	✓	✓		
20.	Other relevant information on the length and location of transmission line traversing through the residential area has not been updated so that the potential impact from the Project's activities on local residents are not clearly identified at the meeting time	✓	✓	✓	✓	
Cu Ne Commune People's Committee (CPC)						
21.	The impact assessment of the project should consider all the related impacts.	✓	✓	✓		Acknowledged and agreed with the proposed risks and concerns; These initiatives will take into consideration when designing the social management plans to mitigate the Project's impact and support the existing community investment enhancement.
22.	Prioritising the local recruitment (e.g. project's affected households and wider community)			✓		
Ea Sin Commune People's Committee (CPC)						
23.	The Ede people are the main ethnic group in the area, and they follow a matrilineal system. Working in the area can be difficult due to language barriers and the need to capture 2-way information during the work process.			✓		Acknowledged and agreed with the proposed concerns regarding the Ede people;

No	Comments of Stakeholders	Criteria				Response from the Project Representatives ²⁷
		Environmental	Health & Safety	Social	Technical	
24.	The CPC proposes that the project include a support program for the commune's new rural program, which includes concentrated residential areas, markets, reservoirs, and dams, as well as the construction of schools and roads		✓	✓		These initiatives will take into consideration when designing the social management plans to mitigate the Project's impact and support the existing community investment enhancement.
Chu Kbo Commune People's Committee (CPC)						
25.	The CPC has not been updated with sufficient information on the Project's status and schedule	✓	✓	✓	✓	Acknowledged and agreed with the proposed risks and concerns; These initiatives will take into consideration when designing the social management plans to mitigate the Project's impact and support the existing community investment enhancement.
26.	Some villagers are concerned about the project's impact on life and agriculture production, including noise, dust, and risks	✓	✓	✓		
27.	The CPC proposes having programs for local community development and livelihood restoration			✓		

5.2.3 Engagement with Local Communities

5.2.3.1 Types of Engagement

5.2.3.1.1 Key Informant Interviews (KIIs)

Nineteen key informant interviews (KIIs) were conducted in the affected communities including Cu Ne, Cu Pong, Ea Sin, and Chu Kbo communes (see Figure 5.2). Representatives of village management board (i.e. village head, deputy village head, and village security officer) and representatives of the commune-level Women’s Unions and Farmer’s Unions were identified as key informants for KIIs. A total of 20 participants (five representatives of the commune-level Women’s Unions and Farmer’s Unions, 14 village heads, and one village security officer) were engaged in the KIIs (see Table 5.4). They include:

- By gender, 18 males and two females;
- By ethnicity, 15 Kinh people and five Ede people.

Table 5.4 Key Informants for KIIs by Geographical Location

Commune	Village	Representative of Women’s Union	Representative of Farmer’s Union	Representatives of the Village Management Board
Cu Ne				
	Kdro 1			1
	Kdro 2			1
	Drah 1			1
	Drah 2			1
	Kmu			1
	Ea Kung			1
	Ea Siek			1
	Ea Krom			1
	Ea Nguoi			1
Cu Pong		1	2	
	Cu Hriet			1
	Ea Bro			1
Ea Sin		1	1	
	Ea My			2
Chu Kbo				
	Kty 4			1
	Kty 5			1
Total		2	3	15

Source: Socio-economic survey conducted by ERM, July 2021



KII with Village Security Officer of Ea My village, Ea Sin commune, 14 July 2021



KII with Village Head of Kdro 2 village, Cu Ne commune, 15 July 2021



KII with Chairwoman of Ea Sin commune Women's Union, 14 July 2021



KII with Deputy Village Head of Kdro 1 village, Cu Ne commune, 14 July 2021

Source: Socio-economic survey conducted by ERM, July 2021

Figure 5.2 Conducting KIIs in the Surveyed Communes

The KII was semi-structured with major questions prepared in advance in the form of checklists. The questions for key informants concentrated on general information about the community, social networks, community context, employment, perceptions about the Project and suggestions for community development schemes. The list of KII respondents and further KII photos are provided in Appendix D.

5.2.3.1.2 Focus Group Discussions (FGDs)

A focus group discussion (FGD) approach enables ERM to observe interactions between group members and to listen to their views, opinions, experiences, and attitudes about their socio-economic conditions. This method is useful to get a consensus as people collectively address concerned topics which they may not have previously considered as individuals. By conducting the FGDs, ERM has obtained an understanding of the current socio-economic condition of the impacted villages, their livelihoods, customs and culture, their dependence on natural resources, their access to utility services, and their opinions or concerns about the Project.

Data from 14 FGDs was used in this report (see Figure 5.3), including:

- Four agri-forestry groups;

- Three vulnerable groups;
- Two ethnic minority groups;
- Two women groups;
- Two wage and enterprise-based groups; and
- One general group.

Each FGD involved a heterogeneous group of 6-13 people with distinctive backgrounds in terms of age, gender, economic, cultural and social status in order to obtain an inclusive perspective and objective reporting. A total of 135 people were engaged in FGDs including 55 males and 80 females (see Table 5.5). By ethnicity, of the 135 FGD participants, 44 are of Kinh group and 91 are of Ede community.

Table 5.5 FGD Participants by Geographical Location and Group

Commune	Village	Group	Date of FGDs	Total Participants	Gender		Ethnicity	
					Male	Female	Kinh	Ede
Cu Pong	Cu Hriet	Ethnic minority group	13 July 2021	11	8	3	2	9
		Vulnerable group	13 July 2021	8	1	7		8
		Wage and enterprise-based group	13 July 2021	11	1	10		11
	Ea Bro	Women group	13 July 2021	11		11		11
		Agri-forestry group	13 July 2021	9	7	2	3	6
Cu Ne	Kdro 1	Ethnic minority group	14 July 2021	9	4	5		9
		Vulnerable group	15 July 2021	9	5	4	2	7
	Kdro 2	General group	15 July 2021	11	2	9		11
		Agri-forestry group	15 July 2021	13	8	5		13
	Drah 1	Agri-forestry group	15 July 2021	13	8	5		13
	Drah 2	Women group	14 July 2021	7		7	1	6
Ea Kung	Wage and enterprise-based group	14 July 2021	10		10	10		
Ea Sin	Ea My	Agri-forestry group	14 July 2021	6	4	2	6	
Chu Kbo	Kty 4	Vulnerable group	15 July 2021	8	5	3	8	
	Kty 5	Agri-forestry group	15 July 2021	12	10	2	12	
Total				135	55	80	44	91

Source: Socio-economic survey conducted by ERM, July 2021

The FGD began with an introduction about objectives and methods. The focus group was structured around the following main sections:

- ERM enquired about the participants' socio-economic condition, and their perception about the Project; and
- Participatory mapping was conducted in FGDs. Participants visualised their community cartographically based on their local knowledge and understanding. These community maps were illustrated and noted in details to provide a clear snapshot about public infrastructure and livelihood activities of the surveyed communities;

- Participants were requested to develop a community vision through developing their future community that they want in the next five years. The desired quality-of-life outcomes were identified that local people and different stakeholders can contribute towards achieving these outcomes over time; and
- Participants, with a focus on women's and vulnerable groups, were asked to list stakeholders who might support them during time of need. These might include friends, family, local authorities or non-governmental organisations (NGOs). Based on a list of stakeholders, participants were invited to rank them in terms of importance for their needs. Visual illustrations were presented to support illiterate people during the discussion.

Photos and note-taking were carried out during the focus group, which lasted from one to one and a half hours. The list of FGD respondents and further FGD photos are provided in Appendix D.

Several participatory tools and techniques were adopted during the group work, including:

- Community resource mapping;
- Gendered labour division raking;
- Seasonal calendar;
- Public infrastructure and service ranking;
- Well-being ranking;
- Support circle;
- Community needs ranking.



FGD with ethnic minority group in Cu Hriet village, Cu Pong commune, 13 July 2021



FGD with agri-forestry group in Ea My village, Ea Sin commune, 14 July 2021



FGD with vulnerable group in Ea Bro village, Cu Pong commune, 13 July 2021



FGD with women group in Drah 2 village, Cu Ne commune, 14 July 2021



FGD with general group in Kdro 2 village, Cu Ne commune, 15 July 2021



FGD with wage and enterprise-based group in Ea Kung village, Cu Ne commune, 14 July 2021

Source: FGDs conducted by ERM, March 2021

Figure 5.3 Conducting FGDs in the Surveyed Communes

5.2.3.1.3 Household Surveys

Household interview is one among multiple research methods that help the researcher to have fuller understanding of potential impacted community. It is not aimed to generalise to the commune's population given the nature and scale of impacts of wind power project components. ERM proposed a non-probabilistic sampling strategy, particularly purposing sampling technique for the household survey. Households will be selected to be inclusive in terms of socio-economic conditions, vulnerability, ethnicity, and impact significance.

The survey was conducted in Cu Ne, Cu Pong, Ea Sin, and Chu Kbo communes where the Project components will be located and/or impact on local communities. At the community level, a sample of 144 households residing near to the Project site was purposively selected for household interviews (see Figure 5.4). The 144 surveyed households have a population of 704 people, including:

- By gender, 359 males and 345 females;
- By ethnicity, 328 Kinh people, 376 Ede people. (There are six people from other ethnicities, including three Gia Rai, two Muong, and one Thai. These people moved to Kinh or Ede households via interethnic marriage and therefore will be analysed under their Kinh or Ede families).

The surveyed population includes households ranging in size from two to 13 people with the average being nearly five people per household. Table 5.6 details the surveyed population by geographical location, while a named list of interviewed households and further household survey photos are provided in Appendix D.

Table 5.6 Household Interviews by the Surveyed Village

Province	District	Commune	Village	No. of Surveyed Households	No. of Surveyed Population				
					By Gender		By Ethnicity		Total
					Male	Female	Kinh	Ede	
Dak Lak	Krong Buk	Cu Ne	Kdro 1	15	34	42	44	32	76
			Kdro 2	11	29	27	0	56	56
			Drah 1	11	29	31	0	60	60
			Drah 2	7	21	15	0	36	36
			Ea Kung	5	9	13	15	7	22
		Cu Pong	Cu Hriet	22	58	49	21	86	107
			Ea Bro	24	60	57	18	99	117
		Ea Sin	Ea My	28	67	59	126	0	126
		Chu Kbo	Kty 4	11	26	27	53	0	53
			Kty 5	10	26	25	51	0	51
Total				144	359	345	328	376	704

Source: Socio-economic survey conducted by ERM, July 2021



Household interview in Ea My village, Ea Sin commune, 14 July 2021



Household interviews in Ea My village, Ea Sin commune, 14 July 2021



Household interviews in Drah 2 village, Cu Ne commune, 14 July 2021



Household interview in Kdro 1 village, Cu Ne commune, 14 July 2021



Household interview in Kty 5 village, Chu Kbo commune, 15 July 2021



Household interview in Kty 5 village, Chu Kbo commune, 15 July 2021

Source: Socio-economic survey conducted by ERM, June 2021

Figure 5.4 Conducting Household Interviews in the Surveyed Communes

5.2.3.2 Perceptions from the Surveyed Local Communities

5.2.3.2.1 Local Knowledge of the Project

About 79.1% out of the 144 surveyed households (114 households) confirmed that they have knowledge about the Project (see Table 5.7). Specifically, 56.3% have known about the Project for less than six months, 16.7% have known it since six to twelve months, and 6.1% have learned about it for more than a year. Noticeably, 20.9% or 30 households including nine Kinh households and 21 Ede households only have heard about the Project for the first time.

Table 5.7 Local Knowledge of the Project

Local Knowledge of the Project (%)	Cu Ne Commune (N=49)		Cu Pong Commune (N=46)		Ea Sin Commune (N=28)	Chu Kbo Commune (N=21)	All Surveyed Communes (N=144)		All Surveyed Communes (N=144)
	Kinh	Ede	Kinh	Ede	Kinh	Kinh	Kinh	Ede	
Heard for first time	0.0	12.2	2.2	32.6	25.0	4.8	6.3	14.6	20.9
Less than six months	12.2	46.9	13.0	39.1	57.1	57.1	27.8	28.5	56.3
6 months - 1 year	6.1	12.2	6.5	4.3	14.3	28.6	11.1	5.6	16.7
Over one year	6.2	4.2	0.0	2.3	3.6	9.5	4.1	2.0	6.1

Source: Socio-economic survey conducted by ERM, July 2021

Of these 114 surveyed respondents²⁸ with information about the Project, main information sources are from relatives, friends and neighbours with 68.4%. Notably, about 16.7% only know about the Project by seeing the construction site around their residence areas, while the same figure gets the information from local authorities (see Table 5.8). In addition, about 9.6% receive the information from Project staff, 2.6% from the internet, and 1.8% from national, local press or television.

Table 5.8 Project Information Channels

Source of information (%)	Cu Ne Commune (N=43)		Cu Pong Commune (N=30)		Ea Sin Commune (N=21)	Chu Kbo Commune (N=20)	All Surveyed Communes (N=114)		All Surveyed Communes (N=114)
	Kinh	Ede	Kinh	Ede	Kinh	Kinh	Kinh	Ede	
Relatives, friends, neighbours	14.0	58.1	20.0	46.7	52.4	80.0	34.2	34.2	68.4
The Project construction	2.3	7.0	3.3	20.0	23.8	15.0	8.8	7.9	16.7
Local authorities	4.7	23.3	3.3	3.3	9.5	15.0	7.0	9.6	16.7
Project staff	7.0	4.7	6.7	3.3	14.3	0.0	7.0	2.6	9.6
The internet	2.3	4.7	0.0	0.0	0.0	0.0	0.9	1.8	2.6
National/local press/ TV	0.0	2.3	0.0	3.3	0.0	0.0	0.0	1.8	1.8

Source: Socio-economic survey conducted by ERM, July 2021

²⁸ This data analysis excluded 30 households who have never heard about the Project before.

5.2.3.2.2 Existing Community Consultations and Local Concerns about the Project

Out of the 144 surveyed respondents, there were only six respondents (including four Kinh households and two Ede households) participating in community consultation about the Project, accounting for 4.2%. Of these six households, three of them hold positions in village management board and the other two people are engaged in Women's Union (see Table 5.9). On the other hand, the rest of the respondents did not attend any public consultation. Of which about 93.1% or 134 households did not know about the consultation but they would like to attend while other 1.4% (including one Kinh and one Ede households) did not want to attend the consultation by any means. In addition, 1.4% (two Kinh respondents) heard about the consultation but could not attend.

Table 5.9 Participation in Public Consultations

Participation in Public Consultation (%)	Cu Ne Commune (N=49)		Cu Pong Commune (N=46)		Ea Sin Commune (N=28)		Chu Kbo Commune (N=21)		All Surveyed Communes (N=144)		All Surveyed Communes (N=144)
	Kinh	Ede	Kinh	Ede	Kinh	Kinh	Kinh	Ede			
Participated in the consultation	2.0	4.1	2.2	0.0	7.1	0.0	2.8	1.4	4.2		
Did not know about the consultation but want to participate in	22.4	69.4	17.4	78.3	89.3	95.2	44.4	48.6	93.1		
Did not know about the consultation and did not want to attend	0.0	2.0	0.0	0.0	0.0	4.8	0.7	0.7	1.4		
Heard about the consultation but could not attend	0.0	0.0	2.2	0.0	3.6	0.0	1.4	0.0	1.4		

Source: Socio-economic survey conducted by ERM, July 2021

Of six people participating in the consultation, half of them want to have more information on the Project, of which one Kinh household got enough details (16.7%) while the other two households (including one Kinh and one Ede) did not (33.3%). The remaining respondents do not want more the information, of which one Ede household got the full information (16.7%) and two Kinh households did not (33.3%) (see Table 5.10).

Table 5.10 Perception on the Adequacy of the Project Information

Adequacy of the Project Information	Cu Ne Commune (N=3)		Cu Pong Commune (N=1)		Ea Sin Commune (N=2)		All Surveyed Communes (N=6)	
	N	%	N	%	N	%	N	%
Not sufficient, want to know more	1	33.3	1	100.0	0	0.0	2	33.3
Not sufficient, not want to know more	1	33.3	0	0.0	1	50.0	2	33.3

Adequacy of the Project Information	Cu Ne Commune (N=3)		Cu Pong Commune (N=1)		Ea Sin Commune (N=2)		All Surveyed Communes (N=6)	
	N	%	N	%	N	%	N	%
Sufficient, not want extra information	1	33.3	0	0.0	0	0.0	1	16.7
Sufficient, want to know more	0	0.0	0	0.0	1	50.0	1	16.7

Source: Socio-economic survey conducted by ERM, July 2021

Of these three respondents who want to get more information on the project, they all concern about compensation schemes, the implementation timeline of the Project, employment opportunities for the local people, and the Project impacts on community environment. In addition, two of them concern about Project impacts on community health, issues that might happen to the village and commune when the Project starts, and negative impact mitigation strategies (see Table 5.11).

Table 5.11 Further Specific Information about the Project

Further Specific Information about the Project	Surveyed Households (N=3)	
	N	%
Compensation	3	100.0
Project implementation timeline	3	100.0
Employment opportunities for the locals	3	100.0
Project impacts on community environment	3	100.0
Project impacts on community health	2	66.7
What happens to the village or commune when the Project starts	2	66.7
Negative impact mitigation strategies	2	66.7

Source: Socio-economic survey conducted by ERM, July 2021

Of three respondents want extra information, they would want to have the Project information being announced through public community consultation (100%), local authorities (33.3%), and face-to-face meetings (33.3%).

5.2.3.3 Social Management Initiatives Including the Supports on Indigenous Peoples and Community Development

The findings from the engagement with local authorities and communities with local representatives and participants in the surveyed communes revealed community strengths, changes, and also many challenges in terms of public infrastructure and local environment. Indigenous Peoples and Community development needs are strategised as Table 5.12 below.

Identification of the perceived needs of surveyed people always present a major challenge. The ample consultations with surveyed communities carried out during the present study have pointed to the following prominent needs.

Table 5.12 Indigenous Peoples and Community Development Needs

No.	Indigenous Peoples Initiatives	Community Development Initiatives
1.	Public infrastructure (e.g. intervillage road)	Public infrastructure (e.g. intervillage road)

No.	Indigenous Peoples Initiatives	Community Development Initiatives
2.	Education infrastructure development and scholarship (e.g. school equipment and facilities)	Education development (e.g. school equipment and facilities)
3.	Health station improvement (e.g. medicine and equipment)	Environment protection
4.	Water supply	Local security
5.	Seedling and animal breeds	Livelihood development
6.	Solid waste collection improvement	
7.	Strengthening migrant worker management	

These needs may vary across the surveyed localities that should be considered and integrated in the short, medium, and long term development interventions by the government, non-government organisations, and the Project.

5.3 Incorporating Stakeholder’s Feedback into ESIA Development

The major concerns and suggestions of the local authorities and local people focused on:

- Social issues: livelihood restoration, compensation payment, indigenous peoples and community development, future agricultural activities of local people depending on the land;
- Environment, Health and Safety (EHS) issues: environmental mitigation and management measures for noise, dust and waste; and
- Project management: grievance mechanism, issues related to the Project’s information.

Based on the interviews and observations during the site visit, these concerns were recognised as key issues required to be taken into account in the ESIA. In particular, social issues will be included within the Social Impact Assessment of the ESIA. EHS issues, particularly those pertaining to noise, will be assessed quantitatively within the ESIA and appropriate mitigation measures developed. The outcomes of these assessments, alongside project management issues will be incorporated throughout the Environmental and Social Management Plan, the Stakeholder Engagement Plan, Indigenous Peoples Plan and Community and Worker Grievance Mechanisms. Suggestions from the stakeholders on mitigation measures for environmental impacts will be incorporated into the Environmental and Social Management Plan, where appropriate.

6. COMMUNITY GRIEVANCE MECHANISM

6.1 Existing Compliant Procedure of Local Authority

According to the Law on Grievances 2011, when a stakeholder has any complaint against activities of individual or organisation, that stakeholder may log a complaint to the People's Committee at commune level. The People's Committee at commune level will need to determine whether that complaint is under their authorisation. If yes, the People's Committee will collaborate with relevant authorities, organisations or individuals to investigate and solve the complaint. A complaint resolution decision will be issued by the People's Committee and sent to the Stakeholder. If the complaint is not under the communal People's Committee authorisation, the People's Committee will forward that complaint to the authorised authorities and inform the stakeholder for their acknowledgement. In cases where the complainant disagrees with the complaint resolution decision, he/ she may follow the Grievance Mechanism (as mentioned in Chapter 6) to log a grievance against such decision. He/she may re-log a new complaint to the higher administrative level (i.e. district or provincial levels).

6.2 Existing Grievance Procedure of Local Authority

As described in Chapter 2, the *Law on Grievances 2011* and *Law on Administrative Procedures 2015* provide regulations, requirements, and procedures for issues regarding grievances and/or lawsuits against administrative decisions or the administrative act, respectively.

In particular, when a stakeholder has grounds that an administrative decision or administrative act is unlawful or directly infringes upon its rights and lawful interests, that stakeholder may make a first-time complaint against the individual who has issued such an administrative decision or the agency that manages the person who has enacted such administrative act, or institute an administrative lawsuit at court in accordance with the *Law on Administrative Procedures 2015*. The time limit for settling a first-time grievance does not exceed 30 days after the grievance is accepted. For a complicated case, this time limit may be prolonged but must not exceed 45 days after the grievance is accepted. In deep-lying or remote areas with difficult travel conditions, the time limit for settling a grievance is 45 days after the grievance is accepted. For a complicated case, this time limit may be prolonged but must not exceed 60 days after the grievance is accepted.

In cases where the grievant disagrees with the first-time grievance resolution decision, or the grievance remains unsettled although the prescribed time for resolution has lapsed, he/she may make a second-time grievance with the direct superior of the competent persons responsible to settle the first-time grievance or initiate an administrative lawsuit at court in accordance with the *Law on Administrative Procedures 2015*. Such timeframe of the second submission is 45 days for normal cases or up to 60 days for complicated cases. In remote areas, due to difficulties in transportation, the grievance time can be extended to 60 days and 70 days for normal and complicated cases, respectively.

In cases where the grievant disagrees with the second-time grievance resolution decision or the grievance remains unsettled though the prescribed time for resolution has lapsed, he/she has right to institute either:

- An administrative lawsuit at court in accordance with the Law on Administrative Procedures 2015; or
- Activities of the individual or organisation which are considered violating the related regulations and affecting the benefits of the grievant in accordance with the *Code of Civil Procedure 2015*

6.3 Community Grievance Mechanism Suggested for the Project

6.3.1 Need for a Community Grievance Mechanism

An effective stakeholder engagement process, which includes proactively providing access to information on a regular basis and conducting consultations to listen to the stakeholder concerns and feedback, can help to prevent grievances from arising in the first place. However, projects with high

potential of environmental and social impacts, or high profile impacts, often result in grievances from project stakeholders. Therefore, a community grievance mechanism needs to be developed and implemented to ensure that project related grievances can be identified, documented, solved and monitored.

A community grievance mechanism should be in place from the beginning of the social and environmental assessment process and should be maintained throughout the project life cycle. As with the broader process of stakeholder engagement, it is important that the Project stays informed and involved in the grievance mechanism so that decisive action can be taken when needed to avoid escalation of disputes.

According to the engagement with local communities, statistically, a large number of respondents (118 people or 81.9%) affirmed that they do not know how to submit grievances related to the Project while only 26 respondents (18.1%) know about the process. When disaggregating data by ethnicity, Ede ethnicity have a limited number of respondents who know about the Project grievances, accounting for 5.6%. In contrast, this figure of Kinh ethnicity is higher than that of Ede ethnicity, with a corresponding percentage of 12.5%. As shared by the respondents who know about the grievance procedure, local people will submit petitions to the local authorities at different levels or even through face-to-face meetings with the Project's representatives.

6.3.2 Suggested Community Grievance Mechanism for the Project

To allow grievances to be incorporated into project decision-making and to allow key messages to be accurately communicated, all community grievances will be recorded in the issues/ grievances register as a means of maintaining transparency throughout any action taken relating to a grievance.

Community grievances can be submitted to the Project through different channels such as: grievance boxes which can be allocated in the office of the affected commune People's Committee; at the site office of the Project Owner; directly via a telephone hotline to the grievance team of the Project; or directly submitted to a person in charge of community liaison (e.g. Community and Social Relations Specialist) of the Project.

The community grievance mechanism is generally designed for different levels of redress, corresponding to the scale and seriousness of the complaint. Therefore, classification of the complaint is an important step.

The Project should appropriately recruit and allocate human resources to manage the procedure. A team of Community and Social Relations (CSR) Specialists should be established under the management of CSR Manager. Ideally, persons with social and community management background should be recruited and assigned as a CSR Specialist and this could include members of the local community who have the requisite skill set.

Details of each step in a community grievance mechanism are illustrated in Figure 6.1 and the following text.

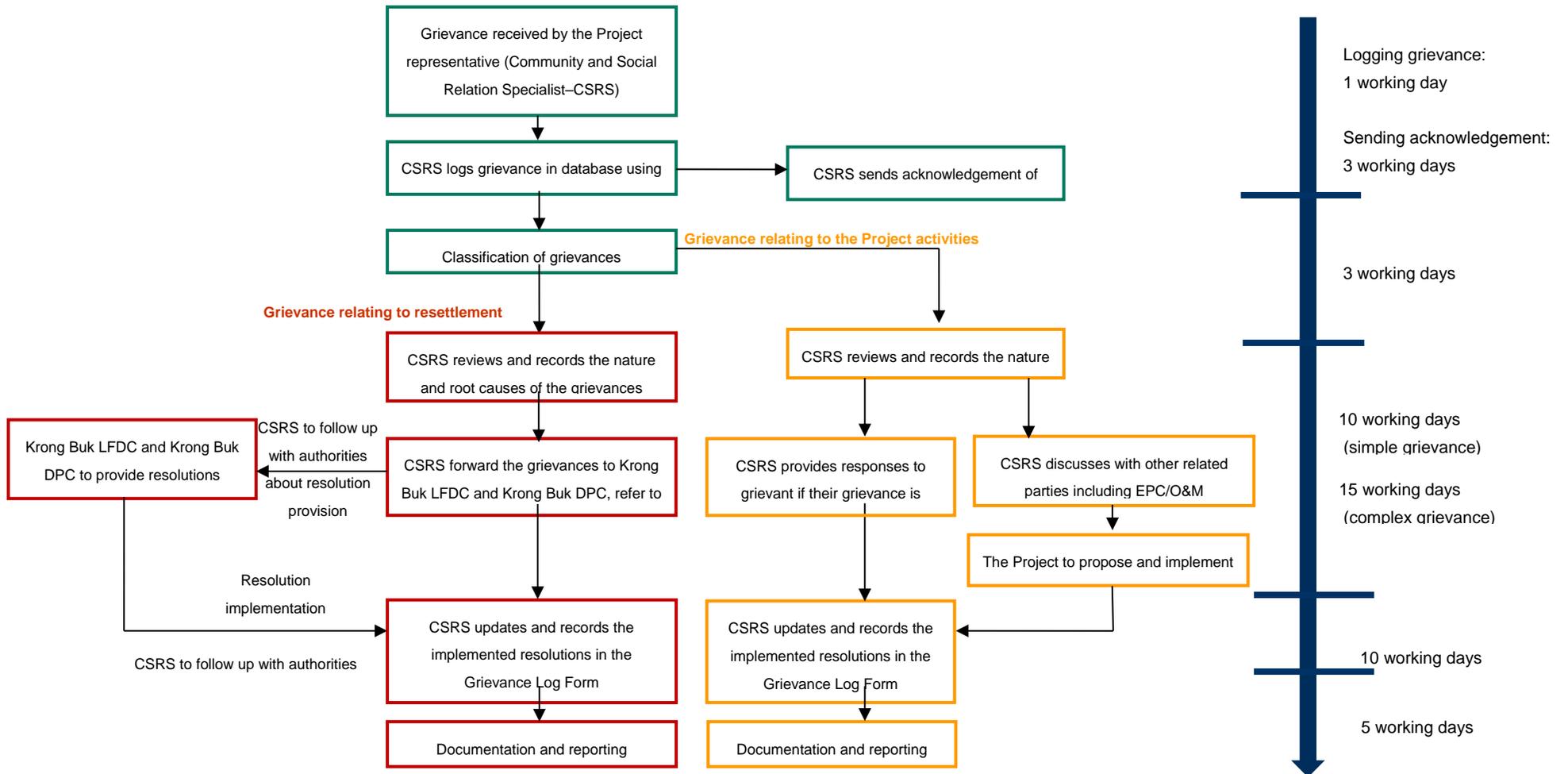


Figure 6.1 Suggested Community Grievance Mechanism for the Projects

Step 1: Receive and log grievance (1 working day)

- The grievance should be collected by the Project representative. Ideally a member of a communication or community relations function (e.g. Community and Social Responsibility - CSR Specialist) should be responsible for this.
- The grievance may be reached to the CSRs from the following sources:
 - Informing/ reporting to the CSRs by the grievant;
 - Submitting in the grievance boxes located at the offices of CPC/ WPC. These boxes will be checked weekly;
 - Informing/ reporting to the CSRs by the local authorities or Head of Villages during the project's engagements with local authorities and communities;
 - Informing/ reporting to the Project via the hotline; and
 - Informal engagement with local communities.
- The CSR logs the grievance using the Grievance Form and ensures that it is captured in a Grievance Log in order to monitor actions taken in resolving the grievance.

Step 2: Acknowledge grievance (approximately 3 working days)

- The CSR should communicate and it should be documented in writing, with the grievant acknowledging receipt of the grievance and providing information on the proposed steps and the anticipated timeframes for resolving the grievance.
- The date of receiving the grievance shall be record in the Grievance Form.

Step 3: Classification of grievance and forward to relevant department (approximately 3 working days)

The CSR should review and classify the grievances based on its nature.

- Grievances relating to resettlement: will be forwarded to the Land Fund Development Centre (LFDC) of Krong Buk District who is in charge of the implementation of the compensation, support and resettlement process for the Project for their resolution. Before forwarding such type of grievance, the CSR should record the nature and root causes of the grievances for the grievance following up and monitoring.
- Grievances relating to the Project activities: can be classified into two level of its complexity, which are:
 - *Simple grievances*: for one-off grievance, and the grievances are considered local (family to small area level) in nature and do not attract attention of media; or
 - *Complex grievances*: for the grievances that are either recurring and/or potentially affect the community (large group to village or commune level) and/or attract attention of media.

Step 4: Investigate and resolve grievances relating to the Project activities (approximately 15 working days)

- In the event that the grievances are assessed simple such as asking for further information about the Project and Project related procedure, direct interaction between the CSR and the grievant(s) shall be conducted. Solutions can then be developed and implemented.
- In the event that the grievances are considered as complex, immediate intervention of related parties such as senior managers, subcontractor, and/or village head, local authorities to seek their advice and then propose a resolution which is agreed by the parties in the discussion. The Project should assign resources to set up a Grievance Committee. Members of this Committee typically include Project Director, EHSS Manager and other related managers, if needed and are managed by CSR Manager. During the construction phase, managers of the subcontractor shall be involved to discuss and resolve the issues relating to their activities.

It is noted that any grievance that needs involvement of third party (e.g. technical expert, authority), the Project Owner needs to contact the relevant third party for their advice or resolution responsibilities.

- Depending on the complexity of the grievance, the CSRs may need to seek approval of:
 - If the solutions are not accepted by the grievant(s), the CSRs should conduct consultation with the grievant(s) to obtain further detailed clarification on the issues and to try and agree upon a mutual solution. Minutes of consultation session shall be kept in the Grievance Log. If a mutual solution cannot be obtained through consultation, third parties could be asked to be involved. The third-party can provide advice or facilitation in a way that is acceptable to all parties
 - In addition, where mediation is desired, academic or other local institutions may be sought out to play an “honest broker” role in mediating between the Project and stakeholder groups.

Step 5: Follow up on grievance (approximately 10 working day)

- *Grievances relating to resettlement:* the CSRs should work closely with the Authority to follow up with the resolution process of this type of grievance from the grievance review, resolution to the implementation of the proposed resolution to ensure no grievances will be left unsolved or pending too long.
- *For all grievances:* The CSRs is responsible for seeking the grievant(s) responses/feedback on the implementation of the resolutions. The implemented resolutions shall also be recorded in the Grievance Form and kept in place as required. These activities are considered as follow up actions. *In case that the grievant did not receive any feedback after 15 working days since the submitted the grievance or did not agree with the resolutions, the grievant may submit another grievance to higher local authorities or higher level of the Project's management.*

Step 6: Documentation and reporting (approximately 5 working days)

- All follow-up actions shall be tracked in the Grievance Log of the Project.
- The CSR is responsible for maintaining all records in the Grievance Log.

The CSR is responsible for preparing periodical reports to the CSR Manager about the resolution of each grievance processed by the CSR. The report will include the resolution and closure process. Templates of community grievance-related documents are provided in Appendix E of this report.

6.3.3 Note for Grievances Raised by Indigenous Peoples

As stated in AIIB ESS3, design the mechanism to address Indigenous Peoples' concerns and complaints promptly, using an understandable and transparent process that is gender-sensitive, culturally appropriate and readily accessible to all affected Indigenous Peoples. The grievance mechanism may utilize existing formal or informal grievance mechanisms, provided that they are properly designed and implemented, and determined by the AIIB to be suitable for the Project; these may be supplemented, as needed, with Project-specific arrangements. Include provisions to protect complainants from retaliation and to remain anonymous, if requested.

Generally, the suggested community grievance mechanism is applied to the IPs grievant. During the socio-economic baseline survey of ESIA development, the literacy of Ede IPs are good and able to log in the grievances. Most of them can use both languages (i.e. Kinh/ Vietnamese and Ede). Nevertheless, there are some suggested points that need the Project Owner to make sure it is appropriate and accessible.

- “Pre-consult” with indigenous communities through their representative institutions (e.g. village head, village patriarch, IP influencer²⁹) to determine the issues in advance;

²⁹ Contact list of the representative institutions is stated in the Appendix I.

- Should be put into writing, publicised, and disclosed the community grievance mechanism at each affected IP village with the participation of diverse attendees (e.g. village head, village patriarch, IP influencer, woman, elderly, and youth) in a mean which can be accessible by all the impacted community and in cultural appropriateness as suggested in Section 4.1.3;
- Should be provided in a format and language readily understandable (e.g. bilingual languages including Vietnamese and Ede) to the Ede IPs and/or communicated orally in areas where literacy levels are low;
- Village head, village patriarch, IP influencer should may be sought out to play an “honest broker” role in mediating between the company and IP groups. In certain circumstances, it can be good practice for a company to provide funding for such third-party advice or facilitation in a way that is acceptable to all parties and doesn’t compromise the integrity of the process.

7. WORKER GRIEVANCE MECHANISM

7.1 Introduction

To allow grievances to be incorporated into project decision-making and to allow key messages to be accurately communicated, all worker grievances will be recorded in the issues/ grievances register as a means of maintaining transparency throughout any action taken relating to a grievance.

Worker grievances can be submitted to the Projects in the construction and operation phases through different channels including:

- Grievance boxes located in the e.g. Project's canteen, working stations, Worker camp;
- Directly via a telephone hotline to the human resource (HR) Specialist; and/ or
- Directly submitted to HR Specialist or Engineering, Procurement, and Construction (EPC) / Operation and Maintenance (O&M) Contractor's Site Personnel.

The worker grievance procedure is generally designed for different levels of redress, corresponding to the scale and seriousness of the complaint. Types of grievances may include complaints concerning wages and benefits, working hours, working conditions, performance evaluation, job assignments, interpretation or application of a rule/ regulation/ policy.

The Project Owner and Site Management Team should appropriately recruit and allocate HR to manage the procedure. The Project Owner is required to ensure that contracted workers have access to a grievance mechanism. In cases where the third party is not able to provide a grievance mechanism, the Project Owner will extend its own grievance mechanism to serve workers engaged by the third party.

7.2 Worker Grievance Process

Worker grievance process is comprised of five steps and each step is described as follows.

7.2.1 Step 1: Disclosure of Worker Grievance Mechanism

The disclosure, training and communication of the worker grievance mechanism will begin early in a project lifecycle and continue on an on-going basis as grievances arise. It will be disclosed in a culturally appropriate manner in the local language and format that is understandable to all the workers. The following information will be disclosed:

- To what extent the mechanism is capable of delivering;
- Who can raise complaints;
- Where, when, and how workers can lodge complaints. If the use of telephone or conventional communication infrastructure (phone, mail, Internet) is appropriate for receiving grievances, "hotline" telephone numbers, email addresses, and Web sites should be widely publicized through brochures, at meetings, via posters on a gate, and so on;
- Who is responsible for receiving and responding to complaints;
- What type of responses from grievances can be expected from the Project, including timing of responses;
- Commitment from the Project Owner to not threaten workers that place grievances; and
- The benefits that the grievant can receive from using the grievance mechanism.

Communication methods to be used are proposed in Table 7.1.

Table 7.1 Methods of Disclosing the Worker Grievance Mechanism

Methods	Benefits
One-to-one	Personal and effective form of communication
Email	Efficient for large teams or getting/ sharing information to the whole team
Meeting	Effective for teams/ groups to ask questions, get response and share plan
Instant messages	Efficient to questions or comments that need more immediate responses
Training	Appropriate for induction and/or refresh training to a large team/ group
Bulletin board	Applied to large-group communication

7.2.2 Step 2: Receiving and Keeping Track of Worker Grievance

The HR Specialist will receive and/or collect grievance submitted by the workers of the Projects as well as subcontractors through identified channels (e.g., grievance boxes, telephone hotlines, HR Specialist) and estimate the nature of the grievance. Upon receipt of grievance, the HR Specialist within two (02) working days shall evaluate and register the received grievance in the grievance logbook, with which their subsequent decisions and actions will be tracked and recorded. The grievance logbook will be kept in the HR office and managed by HR Specialist or CSRs.

7.2.3 Step 3: Reviewing and Investigate Worker Grievance

The HR Specialist shall review, investigate and consult with affected person(s) as well as relevant personnel (e.g. Trade Union or Workers Representative, if any) to understand clearly and fully about the situation of the grievance. If required, a meeting can be organized for collection of detailed information, clarification, discussion, consultation and advice. Minutes of the meeting shall be kept in the grievance log. For anonymous grievance, HR Specialist may investigate and disclose the resolution in the bulletin board or public area. The reviewing and investigating process shall be conducted and finished within five (05) working days upon the grievance registration.

Status of the resolution process of all grievance cases will be followed up by HR Specialist and notified to the relevant parties including the grievant as well as relevant personnel and departments (if required).

7.2.4 Step 4: Worker Grievance Settlement

After the investigation of grievance, the HR Specialist will co-operate with related departments and personnel to propose appropriate resolution options and resolve the grievance under the instruction and advice of the Site Management Team. Timeframe for resolving a grievance shall be 3 - 5 working days depending on the complication of the grievance.

7.2.4.1 Resolution Options

Based on the results of the investigation, resolution options shall be suggested by concerned departments and personnel. Resolution options can be developed taking into consideration worker preferences, company policy, past experience, current issues and potential outcomes. It may be helpful to establish a “menu” of possible options (e.g. altering or halting harmful activities, providing apology, providing compensations, replacing lost property) appropriate for different types of grievances that company personnel can apply once a grievance is raised.

- If the grievant agrees with the proposed option(s), the solutions will be implemented accordingly within the 20 working days timeframe;
- If the option(s) are not accepted by the grievant(s), the HR Specialist should conduct consultation with the grievant(s) and relevant personnel to obtain further detailed clarification on the issues and

to try and agree upon a mutual solution. Minutes of consultation session shall be kept in the grievance log; and

- If a mutual solution cannot be obtained through consultation, third parties (e.g. trade union, local authorities) could be asked to be involved. The third-party can provide advice or facilitation in a way that is acceptable to all parties.

7.2.4.2 Response

The HR Specialist will ensure that the grievant(s) is provided with updated information of the implementation of the resolution.

The HR Specialist is responsible for seeking the grievant(s) feedback on the implementation of grievance resolutions. Personnel responsible for investigating and resolving grievance should be diplomatic when engaging with workers, use detailed and respectful explanation, together with compelling evidence to ensure all grievances are satisfactorily resolved.

All engagement shall also be recorded in the grievance form and kept in place as required.

7.2.4.3 Close-out

Should the grievant(s) agree and accept the provided resolution, HR Specialist will record the agreement in a grievance resolution minute, update in the database and store all documentary evidence (e.g. photos, meeting minutes, and records with signature) in one central place as required.

If resolution option is rejected, all negotiation evidence, efforts and corrective actions should be documented for grievance tracking and for further reference, whether the Projects use other grievance mechanism outside the Project or inform the grievant(s) of no further action.

Should the grievant(s) want to seek for a legal grievance mechanism, Site Management Team should ensure that it is able to provide, where necessary, all documents relating to such grievance to authorities to prove that the grievance has been acted upon in compliance with this mechanism.

Figure 7.1 below shows the development of resolution options, response and close-out.

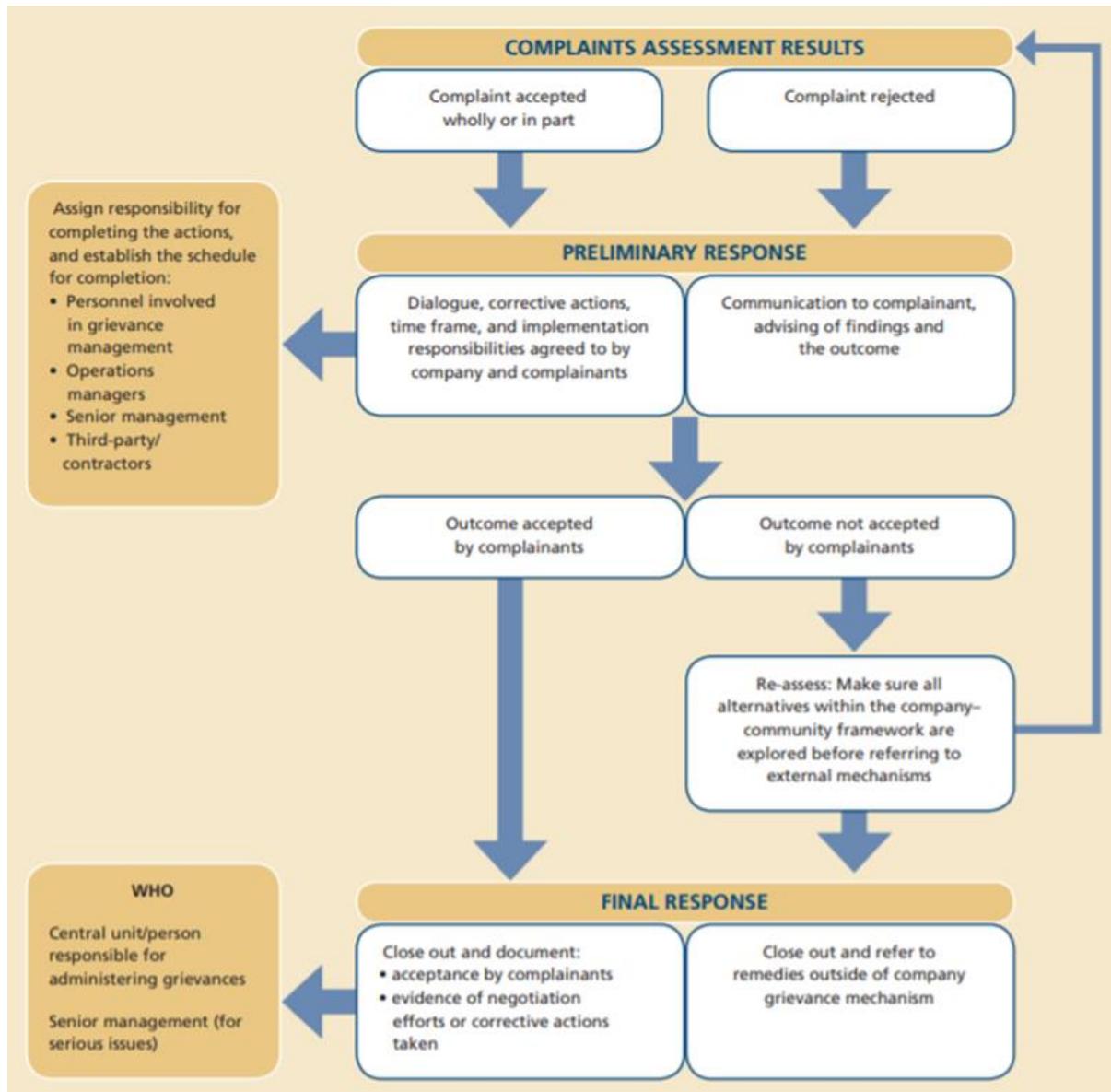


Figure 7.1 Developing Resolution Options, Response and Close-out

7.2.5 Step 5: Monitoring and Reporting in the Resolving Process

The HR Specialist shall monitor the execution of the agreed resolution between parties.

The HR Specialist shall prepare and submit quarterly report on status of grievance resolution to the Site Management Team for review and advice on corrective actions (if required).

7.3 Grievance Inventory

When sufficient data is available, the HR Specialist shall annually analyze the trends of grievances raised by the workers and submit to Site Management Team for review.

Where grievances with the same issue are repetitively raised, the HR Specialist and relevant personnel (e.g. Trade Union, if any) shall include a root cause analysis, propose proper measures and get support of Site Management Team (if required) to implement measures in order to avoid recurrence of the similar grievances.

7.4 Grievance Register and Reporting

7.4.1 Grievance Register

The grievance register will be developed and maintained by Site Management Team and used a database for recording the information about each grievance on a grievance form. The purpose of this form is to keep track of the grievance handling, ensure grievances are responded to in a timely manner and analyse grievance trends.

The grievance register will contain all related information such as the name of grievant, description of grievance, contact information, stakeholder information, handle unit (the unit to solve the grievance), status within the process, date of report and responses.

Site Management Team should set the following performance indicators and targets:

- 100% of submitted grievances are evaluated and given with appropriate response;
- 100% of grievances are followed up according to the grievance timeline; and
- 100% of the grievances were attempted to be resolved to the satisfaction of the complainant (based on monitoring surveys).

7.4.2 Grievance Reporting

The reporting requirements of Site Management Team are as follows:

- Report details of the grievance within 5 days after occurrence (receipt of the grievance);
- Prepare weekly summary reports and report to HR Specialist in the weekly meeting after receiving complaints or denunciations;
- Prepare monthly summary reports and report to the EHSS Deputy Manager on complaints and grievances received and solution process.

Content of the report will at minimum contain the following information:

- Summarize the grievances received and types based on the grievance type within the timeframe;
- The resolution status - number of grievances resolved, pending of implementation and unresolved, number of grievances that were referred to external mechanism, along with challenges in implementing the resolution, and timeframe to resolve the remaining grievances;
- Results of monitoring and the status of implementation of the proposed resolution; and
- Identify trends and critical grievances occurring regularly and/or overdue cases.

Timeframe of the report would be presented in Table 7.2 below:

Table 7.2 Timeline for Reporting

Target	Person-in-charge	Construction	Operation
Report to the EHSS Deputy Manager	HR Specialist	Monthly	Quarterly
Report to other parties as required (e.g. the Lenders) to identify the need for organizational and procedure improvement	The Project Owner	Quarterly	Semi-annually
Report to the workers on the implementation of the mechanism (e.g. bulletin board)	HR Specialist	Monthly	Quarterly

7.5 Management Review

The Project Owner should periodically review and revise, as necessary, the current mechanism. This review may also mean inclusion of issues of accessibility, transparency, and cultural appropriateness of the mechanism into monitoring parameters. The review will help determine whether there are any recurring grievances that point to a need for changes in company policies and procedures. An annual review of this mechanism should be undertaken to include lessons learnt and to update new Vietnamese regulations and international standards and project regulations.

Internal monitoring is conducted as part of the Project Owner roles and responsibilities, which should be undertaken on a regular basis. The internal monitoring may involve the workers or their representative, if any. The scopes of the monitoring include:

- Assess the effectiveness of the grievance tracking and handling procedure;
- Identify the need for organizational improvement in implementing the procedure;
- Evaluate the progress of resolution implementation and identify interventions where required from senior management to manage overdue or outstanding cases or recurring grievances; and
- Identify the need for improvement of the procedure, should any significant changes in external factors occur, e.g. economic and political conditions which potentially encourage additional social risk and impact.

EHSS Deputy Manager can request and review on a regular basis summary grievance reports prepared by the responsible staff, and conduct random follow-up interviews with individual complainants.

Site Management Team and subcontractors' project manager(s) shall conduct the monitor in case of complaints or denunciations:

- The number of complaints and grievances received;
- Resolution responses;
- Timing of solutions, which should be completed by Site Management Team or subcontractor; and
- The number of grievances successfully dealt with and number of grievances, which could not be resolved.

7.6 Training of Worker Grievance Mechanism

Table 7.3 present requirements related to main types of training with regard to the Worker Grievance Mechanism.

Table 7.3 Types and Timeline for Training of Worker Grievance Mechanism

Types of Training	Phase	Participants	Timeline and Frequency
Induction training	<ul style="list-style-type: none"> ■ Construction; ■ Operation. 	Workers of: <ul style="list-style-type: none"> ■ Site Management Team; ■ Subcontractors; ■ Relevant parties. 	<ul style="list-style-type: none"> ■ Within 3 days after recruitment
Refresher training	<ul style="list-style-type: none"> ■ Construction 	Workers of: <ul style="list-style-type: none"> ■ Site Management Team; ■ Subcontractors; ■ Relevant parties. 	<ul style="list-style-type: none"> ■ Grievance mechanism is updated.
	<ul style="list-style-type: none"> ■ Operation 	Workers of: <ul style="list-style-type: none"> ■ Site Management Team; ■ Subcontractors; ■ Relevant parties (if any). 	<ul style="list-style-type: none"> ■ Once per year; or ■ Grievance mechanism is updated.

8. AIIB POLICY ON THE PROJECT-AFFECTED PEOPLE'S MECHANISM

8.1 Introduction

The Environmental and Social Policy (ESP) of the Asian Infrastructure Investment Bank (AIIB) guides sound environmental and social management of AIIB-financed projects (Projects). The ESP provides a mechanism for public consultation and disclosure of information on the environmental and social risks and impacts of Projects and for use of Project-level Grievance Redress Mechanisms (Project-level GRMs). The ESP also provides that AIIB will establish a mechanism to receive submissions from Project-affected people who believe they have been or are likely to be adversely affected by AIIB's failure to implement the ESP.

This Policy, adopted by the Board of Directors, establishes such a mechanism, known as the Project-affected People's Mechanism (PPM). The Complaints-resolution, Evaluation and Integrity Unit (CEIU) shall be responsible for the proper functioning of the Project-affected People's Mechanism (PPM).

While the President manages AIIB under the supervision of the Board of Directors pursuant to Article 29(4) of AIIB's Articles of Agreement, this Policy recognizes that the President has delegated significant aspects of this management authority in relation to investment operations to the Vice President and Chief Investment Officer; and Vice President, Policy and Strategy. Accordingly, where in this Policy any action is required of Management, the term "Management" shall mean Vice President and Chief Investment Officer; and Vice-President, Policy and Strategy.

This Policy is deemed a "major policy" of the Board of Directors, in accordance with Article 26 of AIIB's Articles of Agreement.

8.2 Project-affected People's Mechanism (PPM) and its Functions

The Project-affected People's Mechanism (PPM) provides an opportunity for an independent and impartial review of submissions from Project-affected people who believe they have been or are likely to be adversely affected by the failure of the Asian Infrastructure Investment Bank (AIIB) to implement its Environmental and Social Policy (ESP) when their concerns cannot be addressed satisfactorily through Project-level grievance redress mechanisms or AIIB Management's processes. The PPM is guided by the Policy on the PPM (PPM Policy) and Rules of Procedure of the PPM (PPM Rules of Procedure). The Complaints-resolution, Evaluation and Integrity Unit (CEIU) is responsible for the functioning of the PPM. It reports directly to the Bank's Board of Directors and is independent of AIIB's management.

8.3 Persons Who May File a Submission

Two or more Project-affected people (Requestors) may file a submission. They may authorize an in-country representative (Authorized Representative) to file a submission on their behalf. In exceptional situations, when in-country representation is unavailable, the Requestors may designate an individual or organization outside of the country as their Authorized Representative to file a submission.

8.4 The PPM's Submission-handling Functions

The PPM's three submission-handling functions are summarized below.

8.4.1 Project Processing Queries

A Project Processing Query (PPQ) is designed to enable Project-affected people to obtain rapid resolution of their concerns about simple matters that arise during AIIB's environmental and social due diligence of a Project and do not require dispute resolution (see below). The due diligence includes screening, categorization and assessment of the environmental or social impacts of the Project. Examples of concerns that may be suitable for a PPQ include inquiries about the consultation process related to a Project or requests to address environmental nuisances such as dust, noise or mobility restrictions experienced during Project preparation. For further details on when a PPQ may be

appropriate and how the process is conducted, please see Sections 3 through 6 (especially 6.5) of the PPM Rules of Procedure.

8.4.2 Requests for Dispute Resolution

Requests for Dispute Resolution (RDR) allow the PPM to seek to facilitate and coordinate the resolution of a dispute that has arisen over measures required to mitigate known and quantifiable, potential or actual material adverse environment and social impacts that arise during AIIB's due diligence of a Project or during Project implementation. The parties to the dispute typically include the Client and the Requestors, but they may also involve Management and/or contractors or other parties involved in the Project processing or implementation. The aim of this process is to reach a time-bound and monitorable dispute resolution agreement between the parties concerned on actions to mitigate these impacts. Under this process, the PPM explores with the concerned parties mutually acceptable dispute resolution methods. This process may include consultative dialogue, information sharing, joint-fact finding, creation of a mediation mechanism or other methods. For further details on when an RDR may be appropriate and how the process is conducted, please see Sections 3 through 6 (especially 6.6) of the PPM Rules of Procedure.

8.4.3 Requests for Compliance Review

The process under a Request for Compliance Review (RCR) involves an investigation by the PPM of allegations by Project-affected people that AIIB has failed to comply with its obligations under the ESP in its environmental and social due diligence of a Project during Project preparation or its oversight of the Project during implementation, thereby causing or being likely to cause material adverse environmental or social impacts on the Project-affected people. If the allegations are substantiated, the process includes a review of any action plan proposed by Management to address these impacts.

Unlike the PPQ and RDR processes, an RCR requires that the PPM assess whether AIIB is in compliance with its ESP. The PPM reviews whether:

- The facts alleged in the RCR are substantiated;
- A direct causal link exists between the adverse impact and alleged AIIB non-compliance with the ESP;
- The alleged adverse impact is material;
- Management has adequately explained its actions pursuant to the ESP;
- The actions proposed by Management to resolve the issues raised in the submission are appropriate.

If the PPM determines that there has been noncompliance with the ESP, AIIB Management prepares a Management Action Plan (MAP) to address the PPM's findings of noncompliance. The PPM submits its findings to AIIB's Board of Directors. The MAP is subject to approval by AIIB's Board of Directors. The PPM also submits to AIIB's Board of Directors its review of monitoring reports prepared by AIIB's Management on implementation of the MAP.

For further details on when an RCR may be appropriate and how the process is conducted, please see Sections 3 through 6 (especially 6.7) of the PPM Rules of Procedure.

8.5 Confidentiality and Retaliation

Requestors may ask for confidentiality. The request for confidentiality and the reasons for the request can be provided with the Requestors' submission. The PPM considers any request for confidentiality and makes all reasonable efforts to grant the confidentiality requested. In reviewing any request for confidentiality, the PPM assesses the risk of retaliation in connection with the submission. If the review identifies a risk of retaliation, the PPM notifies AIIB's Management and discusses actions Management

may take to avoid increasing the risk to the safety of the Requestors, their families, in-country Authorized Representative and other relevant persons.

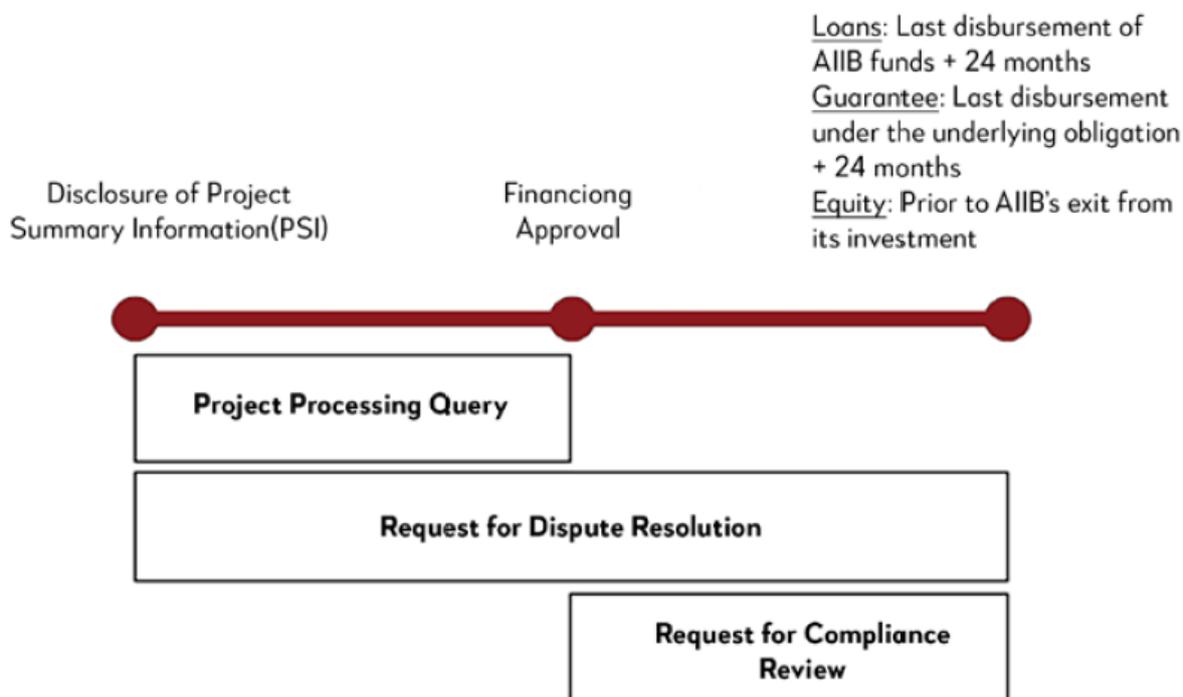
If confidentiality becomes an impediment to submission eligibility assessment or effective resolution of issues raised, the PPM advises the Requestors of these concerns and seeks to agree with the Requestors on how to proceed. Failing such agreement, the PPM may terminate review of the submission. For further details on how the PPM handles confidentiality and retaliation, please see PPM Rules of Procedure, Sections 6.4.3 and 9, and Attachment 4. For further details on submission processing, please see PPM Rules of Procedure Attachment 3: Indicative Timeframes for Submission Processing.

8.6 Time Limits for Filing a Submission

Project Processing Query may be submitted after the Project summary information (PSI) in relation to a Project has been disclosed by AIIB and before the approval of the Financing.

Request for Dispute Resolution or Compliance Review may be submitted (i) after the PSI in relation to a Project has been disclosed by AIIB, in case of Dispute Resolution and (ii) after the approval of the Financing, in case of Compliance Review, and before one of the following dates:

- For Nonsovereign-backed Financings: the date 24 months following the date of the last disbursement of AIIB’s funds or, in the case of guarantees, the date 24 months following the date of the last disbursement under the underlying obligation or, in the case of equity funding, prior to AIIB’s exit from its investment.



Source: AIIB PPM Brochure, March 2021

Figure 8.1 PPM Submission Processes and Timeframes Nonsovereign-backed Financings

8.7 Eligibility of Submissions

A submission shall be ineligible to be considered by the PPM, if:

- It does not relate to a Project that has been approved for financing by AIIB or in relation to which a PSI has been disclosed.

- It is anonymous;
- It raises allegations of Prohibited Practices³⁰ or relates to procurement;
- It relates to any AIIB policy other than the ESP;
- It relates to the adequacy of the ESP;
- The Project is co-financed with another Multilateral Development Bank (MDB) or bilateral development organization and AIIB has agreed to the application of the environmental and social policies and procedures and to rely on the Independent Accountability Mechanism (IAM) of such institution;
- It is filed outside of the time limits set out in this Policy;
- The Requestors have not made good faith efforts to resolve the issues with the Project-level GRM and with Management or have not indicated to the satisfaction of the PPM why they have been unable to do so;
- It raises issues that have already been considered by the PPM, unless there is new evidence or circumstances not known at the time of the previous submission; or
- It has been filed fraudulently, with frivolous, malicious or improper intent or to gain undue competitive advantage.

Further, a request for Compliance Review shall be ineligible if:

- It relates to actions or inactions that do not involve AIIB's failure to comply with the ESP or otherwise raises issues unrelated to AIIB's failure to comply with the ESP;
- It relates to activities, parties or impacts beyond the reasonable control of AIIB (including the conduct of the Client or any third party, unless that conduct is directly relevant to assessment of AIIB's compliance with the ESP);
- It relates to laws, policies, or regulations of AIIB's Member government, unless they directly relate to AIIB's compliance with the ESP;
- It relates to matters concurrently under arbitral or judicial review, save when the Board of Directors authorizes the PPM to process such request; or
- It relates to the subject matter of an ongoing Project Processing Query or a Dispute Resolution.

8.8 Processing of Submissions

The submission shall identify the Requestors making the submission. The Requestors shall be encouraged but not required to indicate under which PPM function they propose their submission to be reviewed. Other information to be included in the submission shall be detailed in the sample submission form to be set out in the Rules of Procedure for the PPM.

The submission may be written in English or in any official or national language of the Requestors' country. The PPM's acknowledgment of submission receipt shall be in English and in the language of the submission, if such language is not English. Thereafter, PPM's communications with the Requestors shall be in English. The PPM shall also translate the substantive part of these communications into the submission language, if such language is not English. However, the English language version of AIIB's communications shall prevail in the case of a discrepancy between the English and translated version.

The PPM shall acknowledge receipt of a submission to the Requestors and recommend the most suitable processing option based on submission content, timing and eligibility criteria, taking the Requestors' proposal, if any, into account. The Requestors' decision on which process they wish to

³⁰ See, the Bank's [Policy on Prohibited Practices which provides definitions of Prohibited Practices](#)

pursue will, however, be final, subject to the submission meeting the applicable requirements of Section 8.6 and 8.7.

The PPM shall determine whether the submission meets the eligibility criteria set out in Section 8.7 and inform the Requestors, Management and the Board of Directors of its determination. If the submission meets such eligibility criteria, it shall be registered in the PPM registry.

The PPM may, unless the Member in which the Project is located objects, undertake site visits to the Project area at any time after a submission has been filed, in order to better understand submission issues and possible ways to address them. If the Member rejects a site visit request, the PPM will inform the Board of Directors and shall conduct its review on the basis of the available evidence. In the spirit of AIIB's partnership with its Members assistance from Members in facilitating timely PPM site visits is anticipated.

Once the submission has been registered in the PPM registry, the PPM shall provide a copy of it to Management. Management shall provide its response to the submission. The PPM shall facilitate constructive dialogue between Management, the Client, the Requestors and any other relevant parties to identify solutions to address the concerns raised. The Project Processing Queries shall be handled as promptly as possible in order to facilitate resolution of concerns during Project preparation (see Appendix F).

9. FUTURE ENGAGEMENT PLAN

9.1 Future Engagement Plan

Apart from the key stakeholder engagement activities in the early stage as discussed above, other identified stakeholders shall be engaged by the Project Owners. A summary of engagement activities suggested for the Projects to be conducted during the Projects' life cycle is presented in Table 9.1.

Table 9.1 Summary of Engagement Activities Suggested for the Project

Activity	Documents/ Topics to be disclosed and/or consulted	Purposes and Expected Outcome	Methodology ³¹	Involved Parties	Timeframe
Information Disclosure	<ul style="list-style-type: none"> Project Information and potential benefit and adverse impacts from the Project 	<ul style="list-style-type: none"> Inform, raise the awareness of the key stakeholders including affected communities and local authorities; Obtain feedback and concerns from the key stakeholders 	<ul style="list-style-type: none"> The Project Owner will seek the support of the commune PC to organize a town hall meeting with the affected communities in a town hall/cultural house. Within the meeting, the Project Statement (e.g. project description summary, map of project location, key milestones and the project schedule) and any potential benefit and adverse impacts from the Project will be presented and delivered in hard copies. All feedback and concerns of the audiences in the meetings will be recorded and presented in the SEP monitoring report. Project information board should be stated and updated in affected commune PC 	<ul style="list-style-type: none"> Affected Communities; Local authorities; Project Owner and their EPC contractors 	<ul style="list-style-type: none"> As soon as possible when commencing the construction
	<ul style="list-style-type: none"> Final ESIA 	<ul style="list-style-type: none"> To provide main findings of the ESIA 	<ul style="list-style-type: none"> Non-technical summary of the ESIA should be in Vietnamese to all stakeholders A public disclosure on the final ESIA as direct information exchange with local communities 	<ul style="list-style-type: none"> Affected Communities; Local authorities; Project Owner and their EPC contractors; AIB website (for Project's information and categorisation) 	<ul style="list-style-type: none"> When the ESIA are considered final

³¹ Refer the approach from the section 4.1.3 when disclosure and consultation with IPs

Activity	Documents/ Topics to be disclosed and/or consulted	Purposes and Expected Outcome	Methodology ³¹	Involved Parties	Timeframe
	<ul style="list-style-type: none"> ■ Community Grievance Mechanism; ■ AIIB Policy on the Project-affected people's Mechanism 	<ul style="list-style-type: none"> ■ For affected/interested people to be aware of the availability of a grievance procedure. 	<ul style="list-style-type: none"> ■ Grievance procedure should be disclosed as soon as possible when the grievance procedure is approved by the Project management. It is noted that the grievance procedure should be in Vietnamese for disclosure. Verbal disclosure is required with a visual aid of leaflets. ■ Project information board should be stated and updated in affected commune PC 	<ul style="list-style-type: none"> ■ Affected Communities; ■ Local authorities; ■ Project Owner and their EPC/O&M contractors 	<ul style="list-style-type: none"> ■ As soon as the grievance procedure gets approved. ■ When there is any update/change on the grievance procedure.
	<ul style="list-style-type: none"> ■ Project status update 	<ul style="list-style-type: none"> ■ To provide updated progress of the Project development to the Project's stakeholders. 	<ul style="list-style-type: none"> ■ A Project Statement in word or in PowerPoint should be prepared in Vietnamese to be posted at public places or presented to the key stakeholders in meetings for their information, respectively. ■ The Project status can also be updated on the website of the Project Company if such website is available. ■ Project information board should be stated and updated in affected commune PC 	<ul style="list-style-type: none"> ■ Affected Communities; ■ Local authorities; ■ Project Owner and their EPC/ O&M contractors 	<ul style="list-style-type: none"> ■ During the construction and operation
	<ul style="list-style-type: none"> ■ Environmental and Social Monitoring Report (ESMR) 	<ul style="list-style-type: none"> ■ For stakeholders to be updated with the environmental and social management status of the Project. 	<ul style="list-style-type: none"> ■ The ESMR should be available in webpage of the Project Company. Additionally, to ensure that the ESMR is accessible by the local people who do not have access to the internet, a summary of the ESMR in Vietnamese should be posted at the People's Committee office of 	<ul style="list-style-type: none"> ■ Affected Communities; ■ Local authorities; ■ Project Owner and their EPC/ O&M contractors 	<ul style="list-style-type: none"> ■ During the construction and operation

Activity	Documents/ Topics to be disclosed and/or consulted	Purposes and Expected Outcome	Methodology ³¹	Involved Parties	Timeframe
			<p>the affected communes or in front of the Site office of the Project.</p> <ul style="list-style-type: none"> ■ Project information board should be stated and updated in affected commune PC 		
Information disclosure and consultation	<ul style="list-style-type: none"> ■ Any external stakeholder-related environmental and social management plans (ESMPs) that will be developed in the future (e.g. Emergency Response Plan, Stakeholder Engagement Plan, Indigenous Peoples Plan, Local Recruitment Plan, Community Development Plan) 	<ul style="list-style-type: none"> ■ The Project Owner may need to develop a number of environmental and social management plans in the future to manage the environmental and social performance of the Project during construction and operation. Where relevant, in particular with influence on external stakeholders, the management plans shall be disclosed to and consulted with the related stakeholders. 	<ul style="list-style-type: none"> ■ Depending on requirements of each management plan, the consultation could be different. For example: <ul style="list-style-type: none"> - Emergency Response Plan shall be disclosed to and sought for approval of the relevant authorities of some relevant elements (e.g. firefighting and prevention). After obtaining the approval, the Emergency Response Plan will be publicly disclosed to the local authorities and local communities. - Disclose the draft Indigenous Peoples plan, including documentation of the consultation process and the results of the social impact assessment in a timely manner in accordance with paragraph 57 of the ESP, in the Project area, in an accessible place and in a form and language(s) understandable to affected Indigenous Peoples communities and other stakeholders. Disclose the final Indigenous Peoples plan and its updates to the affected Indigenous Peoples communities and other stakeholders in the same manner. Disclose any IPPF in the same manner. Regularly disclose updated 	<ul style="list-style-type: none"> ■ Affected Communities; ■ Local authorities; ■ Project Owner and their EPC/ O&M contractors; 	<ul style="list-style-type: none"> ■ Consultation: During the development of the management plans ■ Disclosure: When the management plans are confirmed as final. Prior to construction phase for the construction management plans, and prior to operation phase for those developed for operation

Activity	Documents/ Topics to be disclosed and/or consulted	Purposes and Expected Outcome	Methodology ³¹	Involved Parties	Timeframe
	<ul style="list-style-type: none"> ■ Any major changes to the project development (e.g. development schedule or project design) or potential major impacts, issues, or opportunities of the Project 	<ul style="list-style-type: none"> ■ Major change during the Project development may affect the stakeholders. Therefore, stakeholders shall be informed of and consulted with regarding any changes relating to the project development that may affect them. ■ Stakeholders should be aware of any potential major impacts, issues or opportunities of the project. 	<p>environmental and social information relating to Indigenous Peoples, along with information on any relevant material changes in the Project.</p> <ul style="list-style-type: none"> ■ Depending on what changes, impacts, issues, or opportunities the disclosure and consultation will be organised appropriately. 	<ul style="list-style-type: none"> ■ Project Owner ■ Other parties will be identified based on the changes, impacts, issues, or opportunities 	<ul style="list-style-type: none"> ■ Disclosure and Consultation: One-off as changes, potential impacts, issues, or opportunities made or provided.
	<ul style="list-style-type: none"> ■ Continual consultation with different stakeholder groups, including local authority, social groups of local communities, interested NGOs, governmental agencies, and private entities within the area for the collaboration in development and implementation of mitigation measures of the Project. 	<ul style="list-style-type: none"> ■ To promote collaboration in development and implementation of mitigation measures 	<ul style="list-style-type: none"> ■ Informed consultation and participation approaches with IP communities ■ Participatory and consultative methods 	<ul style="list-style-type: none"> ■ Different stakeholder groups, including local authority, social groups of local communities, interested NGOs, governmental agencies, and private entities within the area. 	<ul style="list-style-type: none"> ■ Consultation: During the development of the mitigation measures.

Activity	Documents/ Topics to be disclosed and/or consulted	Purposes and Expected Outcome	Methodology ³¹	Involved Parties	Timeframe
Engagement with Employees, EPC/O&M contractors	<ul style="list-style-type: none"> ■ Environmental and Social Management Plan (ESMP) included in the ESIA and the specific management plans 	<ul style="list-style-type: none"> ■ For employees, EPC contractors to be aware of the actions of environmental and social management of the Project and the specific plans that need to be developed and implemented by the EPC Contractor(s) as required in the ESIA,. 	<ul style="list-style-type: none"> ■ The ESMP should be disclosed as soon as possible before the EPC Contractor(s) commence their work. ■ Project Owner will quarterly review the specific environmental and social management plans prepared by EPC Contractor(s) as well as monitor the implementation of these plans, which include but not limited to the following: <ul style="list-style-type: none"> - Chance Finds Procedure - Emergency Response Plan - Safety Transportation Management Plan - Workers Accommodation Management Plan - Water Quality Management Plan - Traffic Management Plan 	<ul style="list-style-type: none"> ■ Project Owner and their EPC contractors 	<ul style="list-style-type: none"> ■ During the construction

Activity	Documents/ Topics to be disclosed and/or consulted	Purposes and Expected Outcome	Methodology ³¹	Involved Parties	Timeframe
	<ul style="list-style-type: none"> ■ Community and employee grievance mechanisms 	<ul style="list-style-type: none"> ■ For EPC/ O&M Contractors to be aware of Project's approach and logging, resolution and reporting of grievances related to Project construction phase raised by the communities and internal employees. 	<ul style="list-style-type: none"> ■ Grievance procedures of the Project Owner should be disclosed as soon as possible when EPC/ O&M contractors commences their work. ■ The EPC/ O&M contractors is required to disclose an Employee Grievance Mechanism to manage grievances from their employees. The EPC can refer to the employee grievance mechanism of the Project to ensure consistency with the resolution procedure. Once such a Grievance plan is available, the EPC Contractors is required to disclose it to their employees. ■ Ad-hoc meetings shall be held between the Project social and EHS teams and the EPC/ O&M contractors to solve any grievances relating to EPC/ O&M contractors activities and to be updated with employee grievance resolution progress from the EPC Contractors. 	<ul style="list-style-type: none"> ■ Employees, Project's workers and workers engaged by third-parties; ■ Responsible personnel for social and EHS from Project Team and EPC/ O&M contractors 	<p>Prior to construction phase for disclosure of Community grievance procedure and development of the Employee Grievance Mechanism</p>

Activity	Documents/ Topics to be disclosed and/or consulted	Purposes and Expected Outcome	Methodology ³¹	Involved Parties	Timeframe
	<ul style="list-style-type: none"> ■ Code of Conduct, internal labour regulations 	<ul style="list-style-type: none"> ■ Training session and monitoring program will be held by the EPC/O&M contractors for their workers to ensure the health and safety of all workers and communities. The same requirement is applied for subcontractors. 	<ul style="list-style-type: none"> ■ Class-based training shall be provided to all employees/workers before their first assignment and re-conducted periodically as result of a training needs assessment. ■ A copy of internal labour regulations and Code of Conduct should be posted in front of the Site office, or onsite or worker bulletin board at their camps within the area where they can be visible to all stakeholders for their information. ■ Daily monitoring by EPC/ O&M contractors and quarterly audit by the Project team during construction stage shall be implemented to ensure the enforcement of and compliance with the regulations. 	<ul style="list-style-type: none"> ■ Employees, Project's workers and workers engaged by third-parties; ■ Responsible personnel for social and EHS from Project Team and EPC/ O&M contractors 	<ul style="list-style-type: none"> ■ On-going training, daily monitoring and quarterly audit prior to and during construction phase
	<ul style="list-style-type: none"> ■ Training on environmental and social management performance awareness 	<ul style="list-style-type: none"> ■ Awareness session will be held for the EPC/O&M workers to inform them of the environmental and social management activities to be undertaken by EPC/O&M contractor(s) and Project Owner throughout Project lifecycle 	<ul style="list-style-type: none"> ■ Quarterly class-based awareness sessions shall be provided to all employees to firstly introduce about environmental and social management requirements of the Project, secondly on-going remind them about the requirements and update them about the social and EHS performance during construction. ■ Posters/brochures should be posted in front of the Site office, or onsite or worker bulletin board within the area where they can be visible to all stakeholders for their information. 	<ul style="list-style-type: none"> ■ Employees, Project's workers and workers engaged by third-parties; ■ Responsible personnel for social and EHS from Project Team and EPC/ O&M contractors 	<ul style="list-style-type: none"> ■ On-going engagement prior to and during construction and operation phases

Activity	Documents/ Topics to be disclosed and/or consulted	Purposes and Expected Outcome	Methodology ³¹	Involved Parties	Timeframe
Monitoring	<ul style="list-style-type: none"> ■ Stakeholder perception survey 	<ul style="list-style-type: none"> ■ To obtain the relevant stakeholders' opinions and concerns about the Project since the commencement of site activities ■ To refresh the memories of the local communities about the Project's community grievance information and to provide explanation for misunderstandings if necessary ■ To learn the diverse perspectives from the stakeholders in regards to the Project's social performance, specifically during this survey ■ The survey results serve as one of the information sources for reviewing social management plans in the upcoming period 	<ul style="list-style-type: none"> ■ Surveyed groups should be local authorities, local communities, affected individuals, hamlet heads, livelihood groups, etc. ■ Depending on the situation, timeline and purpose of the project's implementation, a list of questions is supposed to be included and changed accordingly (e.g. information requested by the surveyed people, the advantages and disadvantages of the Project implementation during any phases of Project, and Project's comments/ recommendations) 	<ul style="list-style-type: none"> ■ Project Owner ■ Key stakeholders of Leverage and Engage groups 	<ul style="list-style-type: none"> ■ Ongoing engagement bi-annually during construction and annually during operation

9.2 Note for Information Disclosure and Consultation

In common practice, the Project should contact the stakeholders at least two (2) weeks prior to any engagement activities to ensure that the target groups will be informed and receive information prior to the engagement activities. It also allows for adequate time for preparation work by all parties. Additional support from the local authorities (i.e. head of hamlets) may be necessary to ensure that notification can be provided to remote communities.

It is noted that, prior to any engagement activities with local communities, the Project needs to inform to the local authorities. If possible, local authorities at the commune level should be engaged in implementation of engagement activities with local communities and relevant organisations (NGOs, expert matters).

The conduct of ICP, especially related to safety, noise, shadow flicker and setback requirements should be based on localised and culturally appropriate communications. Outreach activities and visual and graphic demonstration such as leaflets, signages and videos should be used.

10. HUMAN RESOURCES AND RESPONSIBILITY

10.1 Human Resources and Responsibility for Community Grievance Mechanism

The Project is recommended to establish a team of at least two people playing the role of Community and Social Responsibility (CSR) Manager and Specialists comprising persons responsible for stakeholder engagement including grievance management. This team shall fall directly under the management of the Construction Manager/Plant Manager.

Members of this team should have:

- a social/community management and development related background.
- human rights expertise and experience in field research; local context knowledge; the right language skills; and knowledge of the particular industry;
- Consider to include technical experts who can measure certain impacts (e.g. environmental and health impacts) and assess the technical and financial feasibility of mitigating measures;
- Diverse with members from different cultural and educational backgrounds with sensitivity to the local context (e.g.lawyers, sociologists, anthropologists and other relevant experts);
- Women on the CSR team, including in leadership positions, who are from the country/region/location where the business project or activities are taking place

Refer to the Environmental and Social Management Plan (ESMP) the overall responsibilities of these positions. The following section describes the responsibilities regarding stakeholder engagement.

Responsibilities of each level from manager to officer are summarised as follows.

Table 10.1 Suggested Resources and Responsibility in CSR Team

Position	Responsibilities
Community and Social Responsibility Manager	<ul style="list-style-type: none"> ■ Plan and allocate human and financial resources for implementation of engagement activities; ■ Appoint a Community Liaison Officer for ongoing oversight of the implementation of the SEP; ■ Monitor the implementation of engagement activities including grievance procedure and report to the Project Manager on a monthly basis during construction; and quarterly in operation; ■ Review the monitoring and auditing reports of the implementation on engagement activities before submitting them to the Project Manager; ■ Report to Lenders on engagement activities and grievance resolution implementation progress on the frequency agreed with the Lenders; ■ Proactively assess the need for other necessary engagement activities and request the Community Liaison Officer to update the SEP accordingly; ■ Review the updated SEP before sending to the Project Manager for his/her review; ■ Review the compliance of the contractor and subcontractors' performance on stakeholder engagement; and ■ Participate in the Grievance Committee of the Project.
Community and Social Responsibility Specialists	<ul style="list-style-type: none"> ■ Implement engagement activities in compliance with the SEP; ■ Update the SEP biannually from the date the SEP is approved;

Position	Responsibilities
	<ul style="list-style-type: none"> ■ Conduct the monitoring of the SEP monthly during construction and quarterly during operation; ■ Report to Construction/Plant Manager about the implementation plan and results of engagement activities, including grievance management, on a monthly basis during construction and quarterly during operation; ■ Receive, log, acknowledge and classify grievances; ■ Participate in solving the grievances; ■ Ensure grievances are documented properly and that the database of grievances is updated regularly including details of any grievance resolutions; ■ Seek advice of Construction/Plant Manager as any issues occurring during engagement activities.

10.2 Human Resources and Responsibility for Worker Grievance Mechanism

For the purpose of ensuring the proper and effective implementation of WGM, the Projects will ensure that the availability of required resources to implement worker grievance process. The resource requirements, roles and responsibilities in relation to WGM are provided in Table 10.2.

Table 10.2 Suggested Roles and Responsibilities

Roles	Responsibilities
Corporate Level	
EHSS Manager	<ul style="list-style-type: none"> ■ Implementing and/or cooperating with the local authorities and Site Management Team, subcontractors and other relevant parties (if any) for resolving all the grievances related to workers working on the Project; ■ Ensuring resources are available to enable full implementation of worker grievance mechanism; ■ Assigning persons or team in charge of the execution of this mechanism; ■ Disclosing the mechanism to workers of the Projects, subcontractors and suppliers; ■ Check and evaluate the effectiveness of this mechanism. Give recommended actions for Site Management Team and subcontractors to correct and improve this mechanism (if necessary). Check the information including, but not limited to, the following: <ul style="list-style-type: none"> - Information about each grievance, complaint or denunciation; - The process and time for resolving; - All the information of relevant parties; - Results of the resolving processes and will evaluate the resolving results (the suitability of the processes, the satisfaction of all relevant parties relating to the complaints, grievance or denunciation (even directly or indirectly); - Relevant records; and ■ Review monitoring records, reports and the results of management review (the updated worker grievance mechanism) which will be submitted by Site Management Team ■ Receive and review reports prepared by the Site Management Team in accordance to this procedure. On that basis, EHSS Deputy Manager will issue and provide recommended actions for Site Management Team to correct, revise and improve this mechanism to ensure the effectiveness and satisfaction of the complainants, in

Roles	Responsibilities
	<p>accordance with Vietnamese laws, IFC's applicable standards (PS1 & PS2), EP IV 2020, project regulations, or other relevant parties (if required);</p> <ul style="list-style-type: none"> ■ Archive all reports and relevant documents for audit purposes; and ■ Conduct annual (or more often if required) monitoring and reporting, as well as cooperate with Site Management Team to take the annual (or when there is a need) management review to revise and update this mechanism in order to meet requirements mentioned above.
Site Management Team (Site Level)	
Site Manager/ Wind Farm Director	<ul style="list-style-type: none"> ■ Be responsible for grievance management (receiving and keeping track of grievances; reviewing and investigating grievances; developing resolution options and preparing a response; monitoring, reporting, and evaluating a grievance mechanism) regarding any worker grievances of Site Management Team or subcontractors' works; ■ Audit and monitor compliance with this mechanism; ■ Monitor the agreed resolution and ensure all physical works, if applicable, are completed to an acceptable standard or other resolutions proposed are closed out; ■ Submit reports of workers grievances prepared by HR Specialist (Grievance officer) to the EHSS Deputy Manager.
HR Specialist	<ul style="list-style-type: none"> ■ Ensure that all the employees, subcontractors and primary suppliers have access and informed to the most recent WGM and process at all times in a language understood by them; ■ Play role as contact point of the EHSS Deputy Manager, Site Manager, Site Management Team and subcontractors in dealing with worker grievance; ■ Coordinate and implementation of the WGM; ■ Register the received grievances with which their subsequent decisions and actions will be tracked and recorded; ■ Report to Site Manager on a regular basis; ■ Ensure the conduct of induction and refresher trainings for the Site Management staff, contractors, and subcontractors; ■ Maintain a training register and shall report the training results (including grievance process) of workers and subcontractors arriving on site to the Site Manager.
Trade Union/Workers' Organization(*)	<ul style="list-style-type: none"> ■ Participating in worker grievance process if required by the EHSS Deputy Manager
EHS Manager and CSR Manager	<ul style="list-style-type: none"> ■ Be in charge of the Project's EHSS performance; ■ Collaborate with Site Management Team for overall review of the Project's activities in term of EHSS matters; and ■ Prepare periodic report and submit to the Site Manager.
Environmental Site and H&S Site Supervisors	<ul style="list-style-type: none"> ■ Coordinate with HR Specialist in managing the EHS performance of the Project including receiving and solving grievance; ■ Prepare periodic report and submit to the EHS and CSR Managers
HR Manager of EPC/O&M Contractors and Subcontractors	<ul style="list-style-type: none"> ■ Ensure all their personnel are aware of the grievance mechanism process and are able to assist any affected person if approached direct. ■ Facilitate the conduct of induction and refresher trainings.

Roles	Responsibilities
	<ul style="list-style-type: none">■ Subcontractors shall not manage worker grievance process directly but may assist Site Management Team as required
All Employees	<ul style="list-style-type: none">■ Understanding about the worker grievance mechanism;■ Co-operating with HR Specialist in investigating and resolving grievance; and■ Providing feedback or opinions to improve the worker grievance system

Note: (*) This position is mainly based on the availability of Trade Union and/ or if the EHSS Manager requires to involve in the process of worker grievance.

11. BUDGET

Budget for implementation of engagement activities will be included in the financial plan of the Project. The budget should be allocated annually, based on the specific engagement activities planned for the year.

The budget will be made available prior to commencement of construction and then every year during the lifetime of the Project. Depending on engagement activities planned for each year, the budget will be estimated as illustrated in Table 11.1. It should be noted that Table 11.1 is just a template for the Project to base its budgeting on and the Project should develop a bespoke budget for engagement activities of the Project.

Table 11.1 Guidance for Estimation of Budget for Engagement Activities in Pre-Construction, Construction and Operation Phases*

Activities	Budget*
Pre-construction	
Disclosure of Project updated information (before the implementation of the CSR plan)	
Disclosure and consultation of community-related environmental and social management plans (e.g. SEP Indigenous People Plan, Emergency Response Plan, Grievance Management Plan, Local Recruitment Management Plan, Expanded Community Development Plan)	
Disclosure and consultation on any major changes of the project development that may affect stakeholders, especially local communities (e.g. development schedule or project design) or potential impacts/issues/opportunities of project milestones (e.g. recruitment for construction, worker peak times, demobilisation period, recruitment for operation, project commissioning, etc.) – for pre-construction stage	
Disclosure and consultation on Grievance procedure/ Grievance Management Plan	
Disclosure on Environmental and Social Management Plan (ESMP)	
During construction	
Disclosure on Environmental and Social Monitoring Report (ESMR)	
Disclosure and consultation on any major changes of the project development that may affect stakeholders, especially local communities (e.g. development schedule or project design) or potential impacts/issues/opportunities of project milestones (e.g. worker peak times, demobilisation period, recruitment for operation, project commissioning, etc.) – for construction stage	
Project status update	
Stakeholder perception survey	
During Operation	
Disclosure on Environmental and Social Management Plan (ESMP)	
Disclosure on Environmental and Social Monitoring Report (ESMR)	
Disclosure and consultation on any major changes of the project development that may affect stakeholders, especially local communities (e.g. development schedule) or potential	

Activities	Budget*
impacts/issues/opportunities of project milestones (e.g. recruitment for operation, etc.) – for operation stage	
Project status update	
Stakeholder perception survey	

Note: (*) This table will be completed by the Client once information of budget is available.

12. MONITORING AND REPORTING

12.1 Monitoring and Reporting

Through various communication channels such as: surveys; town hall meetings; and periodic one-on-one meetings; the Project will monitor and collect feedback from stakeholders. The results of the stakeholder engagement process will be included in an Environmental and Social Monitoring Report (ESMR). The Project should include the following information on the stakeholder engagement activities in the ESMR:

- place and time of public consultative meetings (including other types of engagement activities);
- information on the participants;
- issues and concerns raised during the consultative meetings;
- list of number and types of grievances raised in the reporting period and the number of resolved and/or outstanding grievances; and
- information on how the issues raised during the meetings were taken into consideration by the organisation in charge of the Project implementation.

The Reports will also include a summary of implemented corrective measures intended to address any grievances.

Table 12.1 provides frequencies of the internal monitoring and reporting on stakeholder engagement activities, including grievance management. External reporting describes submission of the monitoring reports to lenders for their review. Frequency of external monitoring of SEP implementation will be subject to discussion with Lenders and, as such, it yet to be defined.

Table 12.1 Frequency of Internal Monitoring and Reporting on Stakeholder Engagement including Grievance Mechanism

Project Phase	Internal		
	Monitoring	Reporting	Updating the SEP
Construction	Monthly	Monthly	Annually
Operation	Bi-annually	Bi-annually	Annually

12.2 Documentation

Record keeping throughout the process of the SEP plays a key role in the efficiency of SEP implementation. In line with the IFC guidelines, documenting consultation activities and their outcomes is critical to effectively managing the stakeholder engagement process.

During the construction phase, the CSR will take responsibility for documenting and reporting in collaboration with the EPC Contractor. During the operation phase, the CSR will be in charge of documenting and reporting stakeholder engagement activities to the CSR Manager. Moreover, a log of external stakeholder communications including complaints and responses to them need to be maintained by CSR. The key information to be covered includes (i) when and where the engagement activities took place; (ii) list of attendees; (iii) discussed topics; (iv) result from discussion; and (v) commitments (if any).

It is noted that once engagement occurs, local community and other interested parties may also want to receive feedback from the Project to know how their concerns will be addressed. Therefore, the results of the periodic monitoring on the implementation of the SEP shall be disclosed and considered as feedback to local communities.

In addition, it is necessary to report back periodically to communities and other stakeholder groups how the Project has been responding to the grievances received. Grievance monitoring is considered as a good approach to provide such information to stakeholders. In particular, the report should contain the name of the individual or organisation; the date and nature of the complaint or concern; any follow-up actions taken; the final result; and how and when this decision was communicated to the grievant (see Appendix G).

12.3 Stakeholder Log

The SEP will be a “living” document, continually updated and evolving throughout the Project as new stakeholders emerge and consultation activities are undertaken. It will incorporate a stakeholder log, recording all activities and consultation responses, and tracking each of these to the point they are “closed-out”. The frequency of the update is specified in Chapter 12 of this report.

The stakeholder log will record the following information for each entry:

- stakeholder organisation;
- contact details;
- issues and concerns raised;
- actions for follow-up;
- responsibility and deadline; and
- confirmation of close-out.

Appendix H provides a template of a Stakeholder Log. The Project’s CSR Specialist is responsible for maintaining the Stakeholder Log during the development of the Project.

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APPENDIX A SUMMARY OF IFC PS REQUIREMENT FOR STAKEHOLDER PARTICIPATION AND GRIEVANCE MECHANISM

Standard	Key Components
<p>Performance Standard 1: Assessment and Management of Environmental and Social Risks and Impacts</p>	<ul style="list-style-type: none"> ■ Develops and implements a Stakeholder Engagement Plan that is scaled to the project risks and impacts and development stage, and be tailored to the characteristics and interests of the Affected Communities. When the stakeholder engagement process depends substantially on community representatives, the client will make every reasonable effort to verify that such persons do in fact represent the views of Affected Communities and that they can be relied upon to faithfully communicate the results of consultations to their constituents. ■ The extent and degree of engagement required by the consultation process should be commensurate with the project’s risks and adverse impacts and with the concerns raised by the Affected Communities. Effective consultation is a two-way process that should: (i) begin early in the process of identification of environmental and social risks and impacts and continue on an ongoing basis as risks and impacts arise; (ii) be based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information which is in a culturally appropriate local language(s) and format and is understandable to Affected Communities; (iii) focus inclusive engagement on those directly affected as opposed to those not directly affected; (iv) be free of external manipulation, interference, coercion, or intimidation; (v) enable meaningful participation, where applicable; and (vi) be documented. ■ Where there are Affected Communities, the client will establish a grievance mechanism to receive and facilitate resolution of Affected Communities’ concerns and grievances about the client’s environmental and social performance. The grievance mechanism should be scaled to the risks and adverse impacts of the project and have Affected Communities as its primary user. It should seek to resolve concerns promptly, using an understandable and transparent consultative process that is culturally appropriate and readily accessible, and at no cost and without retribution to the party that originated the issue or concern. The mechanism should not impede access to judicial or administrative remedies. The client will inform the Affected Communities about the mechanism in the course of the stakeholder engagement process.
<p>Performance Standard 2: LabourLabor and Working Conditions</p>	<ul style="list-style-type: none"> ■ The client will provide a grievance mechanism for workers (and their organizations, where they exist) to raise workplace concerns. The client will inform the workers of the grievance mechanism at the time of recruitment and make it easily accessible to them. The mechanism should involve an appropriate level of management and address concerns promptly, using an understandable and transparent process that provides timely feedback to those concerned, without any retribution. The mechanism should also allow for anonymous complaints to be raised and addressed. The mechanism should not impede access to other judicial or administrative remedies that might be available under the law or through existing arbitration procedures, or substitute for grievance mechanisms provided through collective agreements.
<p>Performance Standard 3: Resource Efficiency and Pollution Prevention</p>	<ul style="list-style-type: none"> ■ Where the consequences of emergency events are likely to extend beyond the project property boundary or beyond the Affected Community or originate outside the project property boundary (e.g. hazardous material spill during transportation on public roadways), the client is required to design emergency response plans based on the risks to the health and safety of

Standard	Key Components
	<p>the Affected Community and other stakeholders. Emergency plans should be developed in close collaboration and consultation with potentially Affected Communities and other stakeholders.</p> <ul style="list-style-type: none"> ■ The grievance mechanism required under Performance Standard 1 provides another avenue for workers, Affected Communities and other stakeholders to address concerns about security activities or personnel within the client’s control or influence.
<p>Performance Standard 4: Community Health, Safety & Security.</p>	<ul style="list-style-type: none"> ■ Recognises that project activities, equipment and infrastructure can bring benefits to communities including employment, services and opportunities for economic development. However, the project can also increase the potential for community exposure to risks from a development. ■ Where project activities pose risks or adverse impacts on the health and safety of affected communities, the developer is required to make available relevant information (including the details of an Action Plan), in an appropriate form, to affected parties and government authorities so that they can fully understand the nature and extent of these risks.
<p>Performance Standard 5: Land Acquisition and Involuntary Resettlement.</p>	<ul style="list-style-type: none"> ■ In such instances, the developer will undertake extensive consultation and negotiation with affected parties. Such communication will include transparent access to project related information in a timely fashion to enable people to plan for the future. Here, public participation will include the establishment of appropriate representative forums through which resettlement and compensation are discussed. Most of this consultation is part of the Social Impact Assessment (SIA) and Resettlement Action Plan but it should be recognised as a component of the Public Consultation and Disclosure Plan. ■ Although resettlement is always seen as a last resort, this Standard recognises that involuntary resettlement occurs as a result of projects and refers to both physical and economic displacement as a result of project related land use. Resettlement is considered involuntary when affected individuals or communities do not have the right to refuse land acquisition those results in their displacement. ■ Consultation shall also take place with host communities. ■ A grievance mechanism should be established to be consistent with Performance Standard 1 as early as possible in the project development phase. This will allow the client to receive and address specific concerns about compensation and relocation raised by displaced persons or members of host communities in a timely fashion, including a recourse mechanism designed to resolve disputes in an impartial manner.
<p>Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</p>	<ul style="list-style-type: none"> ■ Stakeholder engagement and consultation is key to understanding biodiversity-related impacts and identifying appropriate mitigation responses.

Standard	Key Components
	<ul style="list-style-type: none"> ■ If a project has the potential to result in significant conversion or degradation of natural habitats, relevant stakeholder groups must be engaged as part of a rigorous, fair, and balanced multi-stakeholder dialogue.
<p>Performance Standard 7: Indigenous People</p>	<ul style="list-style-type: none"> ■ Defines Indigenous People as social groups with identities that are distinct from mainstream groups in national societies. ■ IFC PS7 seeks to ensure that business activities minimise negative impacts, foster respect for human rights, dignity and culture of indigenous populations, and promote development benefits in culturally appropriate ways. Informed consultation and participation with IPs throughout the project process is a core requirement and may include Free, Prior and Informed Consent (FPIC) under certain circumstances.
<p>Performance Standard 8: Cultural Heritage.</p>	<ul style="list-style-type: none"> ■ Recognizes the importance of cultural heritage for current and future generations and is consistent with the convention concerning the protection of the world's cultural and natural heritage. ■ Where sites of cultural heritage are potentially impacted by the project, the developer should consult with local communities as well as relevant national authorities responsible for the maintenance of such sites.

APPENDIX B DETAILED ENGAGEMENT WITH EACH STAKEHOLDER GROUPS BASED ON HRIA

ENGAGEMENT WITH RIGHTS-HOLDERS

Rights-holders	Considerations for engagement
Potentially impacted community members	<ul style="list-style-type: none"> ■ Identifying the communities affected by a business project or activities requires a good understanding of the local context. ■ It is important to consider that not all communities or individuals within a community are affected in the same way. Nor are all community members likely to share the same point of view of a business project or activities. Some may support the business project, while others may oppose it. These different perspectives should be represented and analysed during the assessment. ■ It is important to take the time to engage and consult with as many different rights-holders within communities as possible in order to identify precisely who is affected, how and to what degree. It may not always be possible to include everyone at each stage of the assessment or to ensure that all views are represented. In those cases, consultation with legitimate representatives could be a viable solution. If some groups are left out, the reasons for this must be justified and clearly stated in the assessment findings. ■ Care should be taken to identify any differences in how impacts are experienced by women, men and children, including through taking gender-sensitive and child-rights approaches to engagement. ■ Rights-holders should be engaged directly in the impact assessment process. However, in cases where this is not possible or appropriate it may be necessary to engage through rights-holder representatives or representative institutions. Where this is the case, care needs to be taken to try to establish that representatives present a faithful account of rights-holders' views, interests and concerns. In some situations, it may also be appropriate for the HRIA process to provide for the creation of, or capacity building of, representative organisations. ■ HRIA engagement strategies should be cognizant of the particular rights to participation and consultation that some community members may be entitled to, for example free prior and informed consent in the case of indigenous peoples, or the particular principles for engagement with children outlined in the Convention on the Rights of the Child (on engaging with specific rights-holders)
Workers and trade unions (as their representatives)	<ul style="list-style-type: none"> ■ Workers can provide crucial information about human rights issues in the workplace and may have important information on the functioning of the company. ■ Where they exist, independent trade unions should be consulted as the legitimate representative organisations of workers. ■ Workers should be directly consulted (individually and/or in groups) to understand their concerns and any actual or potential impacts that they experience. ■ Ensure that workers are protected in their anonymity when giving their statement as they might face pressure from other workers or superiors.

Rights-holders	Considerations for engagement
	<ul style="list-style-type: none"> ■ Care should be taken to identify any differences in how impacts are experienced by women and men, including through taking gender-sensitive approaches to engagement. ■ Worker representatives may have insights into potential impacts not only on workers themselves, but also on local communities, since workers often come from these communities. ■ To better understand the impacts of a business project or activities on workers, national trade unions federations as well as International Trade Union Federations (e.g. International Trade Union Confederation (ITUC), The International Union of Food, Agricultural, Hotel, Restaurant, Catering, Tobacco and Allied Workers' Associations (IUF), UNI Global Union, IndustriALL) may also be consulted. ■ In countries where trade unions are prohibited by law, it is important to take into consideration the sensitivities regarding this topic and the risks associated with consultations. Assessors should find alternative means to obtain data regarding workers' rights and freedom of association. This could include adaptation of the language regarding freedom of association and trade unions when engaging with workers
Consumers/clients/ customers/end-users	<ul style="list-style-type: none"> ■ Consumers/clients/ customers/end-users Under this rights-holder group fall those individuals who buy and/or use products and/or services of the company in question. They can include direct and indirect consumers; and consumer protection groups and user groups as representatives of ■ Consumers can be adversely affected when a product or service they acquire is of inadequate quality and has negative impacts, e.g. the plastics used to manufacture children's toys contain chemicals that are harmful to the physical development of children. ■ Depending on the sector and product/service, consumers or consumer protection groups should be consulted to understand the actual and potential impacts of the business activities on the human rights enjoyment of consumers.
Human rights defenders, including trade union or labour activists	<ul style="list-style-type: none"> ■ Human rights defenders, including trade union or labour activists ■ Human rights defenders concerned about a business project or activities can be at risk of retaliation from repressive host-government agencies, paramilitary groups etc. ■ Trade union activists may be at risk of discrimination by employers. ■ Human rights defenders are likely to have valuable insights into potential and actual impacts of the business project or activities on workers and communities.

ENGAGEMENT WITH SPECIFIC RIGHTS-HOLDERS

Rights-holders group	Example points of discrimination, vulnerability or marginalisation in the context of business projects or activities	Example points of consideration when engaging with rights-holder group	Examples of organisations, experts or proxies
<p>Children and Young people</p>	<ul style="list-style-type: none"> ■ Child labour ■ Product design and advertising ■ Behaviour of staff/ subcontractors toward children ■ Community resettlement ■ Relocation of schools ■ Pollution of water ■ Scarcity of food 	<ul style="list-style-type: none"> ■ Conduct consultation with children in coordination with child participation experts to facilitate participation respecting ethical standards ■ Design process so it is accessible, inclusive and meaningful for children ■ Ensure voluntary participation in child-friendly environment 	<ul style="list-style-type: none"> ■ Parents/carers ■ Professionals in contact with children (e.g. teachers, doctors, health workers, lawyers, child protection and/or social workers). ■ Child protection experts
<p>Women and girls</p>	<ul style="list-style-type: none"> ■ Women and girls are often disproportionately adversely affected in the context of business projects and activities ■ Disproportionately affected by resettlement due to no recognised land rights/titles for women in many traditional societies, and thus exclusion from national compensation schemes ■ Increased (domestic) workload because of environmental impacts / absent men working for company ■ Health and security impacts due to in-migration of male workforce in community, including sexual intimidation, harassment and/or rape ■ Violence, including sexual violence, associated with increased use of alcohol and 	<ul style="list-style-type: none"> ■ Consult women separately in a gender sensitive manner ■ Include women HRIA team members ■ Include HRIA team members with knowledge of the particular rights and experiences of women and girls ■ Exclude male team members at interviews ■ Provide safe and comfortable space for interviews ■ Include particular vulnerable sub-groups (e.g. female heads of household, children, etc.) 	<ul style="list-style-type: none"> ■ UN Women ■ Women's rights NGOs ■ Women's associations

Rights-holders group	Example points of discrimination, vulnerability or marginalisation in the context of business projects or activities	Example points of consideration when engaging with rights-holder group	Examples of organisations, experts or proxies
	<p>drugs in the community due to company presence</p> <ul style="list-style-type: none"> ■ Lack of consultation and participation of female-headed households 		
Indigenous peoples	<ul style="list-style-type: none"> ■ Resettlement and relocation ■ Special connection of indigenous peoples to land, water, and other natural resources, which might be polluted/changed by a business project or activities ■ Destruction of tangible and intangible cultural heritage 	<ul style="list-style-type: none"> ■ Include HRIA team members with knowledge of indigenous peoples' rights and local context (including any regulatory requirements for engagement specific to indigenous peoples) ■ Respect indigenous representative institutions; be sure to understand the cultural and organisational characteristics of indigenous peoples and hierarchy of authorities in order to engage with the right people in the right order and manner ■ Use appropriate language for the context 	<ul style="list-style-type: none"> ■ UN Special Rapporteur on the situation of human rights and fundamental freedoms of indigenous peoples ■ International, regional and local indigenous peoples rights organisations include e.g. <ul style="list-style-type: none"> - International Working Group for Indigenous Affairs (IGWIA) - Minority Rights Group International - Survival International, - Cultural Survival - Amazon Watch
Workers and trade unions	<ul style="list-style-type: none"> ■ Forced labour ■ The vulnerability of migrant workers and/or undocumented workers ■ Freedom of Association ■ Discrimination towards trade union members 	<ul style="list-style-type: none"> ■ Make sure to meet different categories of workers and trade union leaders (e.g. by gender, position, unionised vs. non-unionised etc.) ■ Include informal workers in HRIA ■ Fix a time that suits their work schedule ■ Consider to interview workers outside of company premises and outside working hours 	<ul style="list-style-type: none"> ■ UN Special Rapporteur on the rights to freedom of peaceful assembly and of association ■ International Labour Organisation ■ Trade union confederations ■ Labour rights groups

Rights-holders group	Example points of discrimination, vulnerability or marginalisation in the context of business projects or activities	Example points of consideration when engaging with rights-holder group	Examples of organisations, experts or proxies
<p>Minorities (national, ethnic, linguistic, religious or political)</p>	<ul style="list-style-type: none"> ■ Marginalised in society or by law ■ At risk of becoming victims of violence, harassment or discrimination, e.g. in employment and access to basic services 	<ul style="list-style-type: none"> ■ Minorities may speak another language than the national language; engagement with minority groups should be conducted in a language they understand and feel most comfortable communicating in ■ Engagement should be culturally appropriate ■ Given the different characteristics of specific minority groups, it can be useful to include an anthropologist in the team who has expertise in engaging with the minority group in question 	<ul style="list-style-type: none"> ■ UN Special Rapporteur on minority issues ■ NGOs such as Minority Rights Group International or Society for Threatened Peoples International) ■ UN independent expert on minority issues ■ NGOs focusing on specific minority groups ■ Associations of people from specific minorities
<p>People with disabilities</p>	<ul style="list-style-type: none"> ■ Societal or cultural discrimination ■ Engagement can be challenging as persons with disability may be 'invisible' due to social taboos ■ Their physical and/or psychological conditions may require specific engagement methods 	<ul style="list-style-type: none"> ■ When engaging with people with physical or psychological disabilities, ensure that the location for meetings is accessible and measures are taken to make engagement meaningful (such as providing a sign language interpreter, having documents available in braille, etc.) 	<ul style="list-style-type: none"> ■ UN Special Rapporteur on the rights of persons with disabilities ■ NGOs such as International Disability Alliance and Handicap International ■ UN Committee on the rights of persons with disabilities ■ ILO Global Business and Disability Network
<p>Elderly people</p>	<ul style="list-style-type: none"> ■ Their physical and/or psychological conditions may require specific engagement methods 	<ul style="list-style-type: none"> ■ When engaging with elderly people, ensure that the location for the meetings is accessible to them (for example wheelchair friendly access). 	<ul style="list-style-type: none"> ■ NGOs such as HelpAge International ■ Caregivers ■ Elderly people associations

Rights-holders group	Example points of discrimination, vulnerability or marginalisation in the context of business projects or activities	Example points of consideration when engaging with rights-holder group	Examples of organisations, experts or proxies
<p>Migrants, refugees and displaced persons</p>	<ul style="list-style-type: none"> ■ Insecure legal status ■ At risk of abuse and discrimination ■ Due to their status they might face difficulties in accessing basic services 	<ul style="list-style-type: none"> ■ Due to their insecure legal status, individuals belonging to this rights-holder group, especially those without a residence permit, may be hesitant to speak openly, fearing that they may be arrested; it is important to provide a safe space when engaging with migrants, refugees and/or displaced persons ■ While for engagement with rights-holders is in general imperative to keep identities of interviewees confidential, for this group confidentiality requires extra special attention 	<ul style="list-style-type: none"> ■ UN Special Rapporteur on the human rights of migrants ■ NGOs working on migrant issues such as Migrants Rights International, Internal Displacement Monitoring Centre, ■ International organisations such as The Office of the United Nations High Commissioner for Refugees (UNHCR) - The UN Refugee Agency, UN Office for the Coordination of Humanitarian Affairs (OCHA), International Organization for Migration (IOM), International Committee of the Red Cross (ICRC) ■ UN Special Rapporteur on the human rights of migrants ■ UN Committee on Migrant Workers
<p>Lesbian, gay, bisexual, transgender and intersex (LGBTI) individuals</p>	<ul style="list-style-type: none"> ■ May experience discrimination and exclusion ■ They can become victims of violence and harassment both in the workplace and in the community 	<ul style="list-style-type: none"> ■ Assessors should be appropriately trained on LGBTI issues when engaging with them ■ Ensure that LGBTI people feel comfortable to provide information by ensuring that the collected data remains confidential 	<ul style="list-style-type: none"> ■ UN Special Rapporteur Combating discrimination based on sexual orientation and gender identity ■ Regional, national and local LGBTI organisations, ■ International NGOs such as Amnesty International, Human Rights Watch ■ The International Gay and Lesbian Human Rights Commission

Rights-holders group	Example points of discrimination, vulnerability or marginalisation in the context of business projects or activities	Example points of consideration when engaging with rights-holder group	Examples of organisations, experts or proxies
<p>Persons living with HIV & AIDS or other diseases</p>	<ul style="list-style-type: none"> ■ May experience discrimination and marginalisation within society ■ They may face health related physical and/or psychological conditions that may require specific engagement methods 	<ul style="list-style-type: none"> ■ Assessors should be appropriately trained and sensitive to health issues related to HIV & AIDS or other diseases depending on the persons' conditions when engaging with them ■ Clear understanding prior to consultation on the local context: e.g. are there workplace health and safety issues that put such individuals more at risk? Discuss issues such as hiring discrimination or companies requiring personal health information during job applications and/or interviews, which can be a form of discrimination 	<ul style="list-style-type: none"> ■ International Lesbian, Gay, Bisexual, Trans and Intersex Association ■ UN Special Rapporteur on the right of everyone to the enjoyment of the highest attainable standard of physical and mental health ■ International health NGOs such as Medecins Sans Frontieres, The International Red Cross and Red Crescent Movement, ■ Community health organisations ■ Caregivers

ENGAGEMENT WITH DUTY-BEARERS

Duty-bearers	Considerations for engagement
Host-government actors	<ul style="list-style-type: none"> ■ In certain contexts, negative impacts arise through relationships with government actors. Therefore, it is important to identify such relationships. For example: the company in question could be in a joint-venture with a government body; the government could have granted access to land where people have been forcefully evicted; or public security forces stationed to protect company assets may be engaged in human rights abuses. ■ Engagement with host-government actors can take place at various stages in the impact assessment and can have advantages as well as disadvantages. ■ Government authorities can be useful to consult as they have access to documents, contracts, concessions, maps, and so forth, which may be relevant for the impact assessment. ■ Access to government authorities might be difficult, especially when the government is not favourable on the topic of human rights. In such cases it can be helpful to ask UN agencies like the ILO and UNICEF to facilitate contact in order to get access.
Company representatives	<ul style="list-style-type: none"> ■ Dialogue with internal stakeholders from the company can provide a good understanding of the nature of the business project or activities, which can help to understand and potentially predict human rights consequences. ■ Engagement with internal company staff is also an excellent opportunity to gain buy-in for changes that may be needed as an outcome of the impact assessment. Make sure to include staff members from different departments and provide anonymity. ■ Local management should be involved to ensure ownership, capacity and resources for follow-up at the project- or site-level.
Business partners, including joint-venture partners, suppliers and subcontractors	<ul style="list-style-type: none"> ■ It is important to identify any business partners involved in or linked to the business activities through business relationships, and the key people within these businesses to understand how they might contribute to or are directly linked to human rights impacts; as well as consider their processes for identifying and managing impacts. ■ Suppliers and subcontractors hired by the business to perform certain jobs, as well as the suppliers who sell goods and services to the company should also be engaged.
Investors and shareholders	<ul style="list-style-type: none"> ■ Investors and shareholders in companies should also be considered duty-bearers. ■ Investors have the responsibility to respect human rights and undertake appropriate human rights due diligence. The UN Guiding Principles and the OECD Guidelines for Multinational Enterprises both consider investors as entities that have a business relationship and can therefore be linked to adverse impacts of companies they invest in. ■ Investors and shareholders have an interest in the human rights track record of the businesses they invest in; therefore, it is important to consult them and hear their views. They have often gathered social and environmental data with regard to the business project or activities in question, which can be useful information for the assessment team.

ENGAGEMENT WITH OTHER RELEVANT PARTIES

Stakeholder group	Considerations for engagement
Civil society organisations (CSOs)	<ul style="list-style-type: none"> ■ Engaging with CSOs can help to understand the human rights legal framework and landscape relevant for the project. ■ They can provide insights on specific human rights topics. ■ They can facilitate contact with, or act as interlocutors, to potentially affected rights-holders.
International organisations	<ul style="list-style-type: none"> ■ International organisations can provide insights on specific topics relevant for the impact assessment, e.g. UNICEF on children's rights or the ILO on labour issues. ■ The ILO might be useful for helping to connect with local governments and/or trade unions in the case of the ILO tripartite structure. ■ These organisations might be able to provide data in the scoping phase as well as for developing a baseline.
Home-government actors	<ul style="list-style-type: none"> ■ Embassies of the host-country of the company in question can provide useful information as they can be strongly connected to the company and/or have existing networks for engagement with the company.
Public security	<ul style="list-style-type: none"> ■ Public security forces may be able to provide useful information about the security situation in the project area, which could be particularly relevant for projects in conflict-affected regions
National human rights institutions (NHRIs)	<ul style="list-style-type: none"> ■ The NHRI of the country of operation may provide valuable information on the general human rights situation in the country or on specific regions, projects or affected rights-holder groups. ■ NHRIs may also be able to provide support in identifying and getting in touch with affected rights-holders, in particular vulnerable or marginalised individuals and groups.
Experts and journalists	<ul style="list-style-type: none"> ■ Engaging with experts can help to provide insights on specific topics relevant to the sector, country or assessment in general (for example water or environmental experts, mining experts, etc.) ■ Journalists can serve as an important source of information on issues related to the business project or activities. They can also be helpful in identifying other stakeholders. When engaging with journalists, clear agreements have to be made between the assessment team and the journalist on the purpose of the engagement; whether the journalist may publish something, or whether she/he is only being consulted for information gathering purposes.
Industry	<ul style="list-style-type: none"> ■ Other companies in the sector and industry associations can be consulted in order to better understand the sector and human rights issues associated with the sector and/or the particular region of operation. ■ It is worth mentioning so-called sector-wide impact assessments (SWIA), which look at the impacts of a sector as a whole rather than the impacts of one company. Such assessment reports can be a useful reference for a project-level HRIA. ■ Industry associations sometimes also provide detailed guidance and good practices. ■ In order to have a bigger impact in mitigating impacts, collective action by the sector may be necessary. Therefore, it is important to involve industry peers at an early stage.

APPENDIX C MINUTES OF MEETINGS DURING ESIA DEVELOPMENT

MINUTE OF MEETING WITH DAK LAK DEPARTMENT OF NATURAL RESOURCES AND ENVIRONMENT (DONRE)

Project	0599549D – Dele Wind Farm Project
Subject	ESIA Engagement with Dak Lak Department of Natural Resources and Environment
Date	15 July 2021
Location	Office of Dak Lak Department of Natural Resources and Environment
Attendees	Dak Lak DONRE: Mr. Le Minh Duc - Deputy Director, and related Divisions (Land Management, Environment, Ground Water, Environment ERM (Nguyen Quy Hanh & Y Ksor Hue)

Procedure

- Update on the Project progress and ESIA development;
- Confirmation on the environmental impact assessment requirements of the Project;
- Information sharing and discussion on environmental issues raised in the Official Letter that the Project sent to the DONRE;
- Question and answer session.

Main Content

- The Approvals of Intention of Investment were issued
- The Projects comply with environmental impact assessment requirements
- For land acquisition, the Project Owners are negotiating directly with the people to expedite the process and will follow required steps in accordance with the land acquisition procedure. Apart from 44 land plots of which land use rights were transferred for turbine construction, land for other turbine locations are under cadastral mapping and measurements.
- According to the Land Management Department, Krong Buk is currently underdeveloped, with two industrial clusters: Krong Buk 1 (currently operational) and Krong Buk 2 (under planning for 2021-2030 period). The district currently lacks urban centers or towns and is in the process of constructing one. Other projects: Ea Sin 1, Krong Buk 3, Cu Kbo, and Thuan Phong are among the 5-6 wind power projects currently being surveyed and proposed. In addition, there are projects on irrigation, renovation and upgrading, and small businesses.
- The Provincial People's Committee must approve the location (currently there is no agreement on the location, creating problems in the locality)
- The water resource planning is located in the Basalt aquifer, which has abundant water reserves and good water quality, according to a representative from the Water Department. The use of water needs to set up exploration procedures, apply for a mining license issued by the Department of Natural Resources and Environment during the time of use and after the use period, it is necessary to fill the mining area according to regulations.
- Climate change is not currently being evaluated, and an impact assessment committee should be formed.
- Waste management: There are currently a number of collection companies in the province, including Dak Lak Environment Joint Stock Company (Hoa Phu commune), Dong Phuong company, and Viet environment company, which collects hazardous waste. Except for hazardous waste, which is sent for treatment, landfilling is the primary treatment method.
- DONRE appreciates if the Project shares the final ESIA with the Department.

MINUTE OF MEETING WITH DAK LAK DEPARTMENT OF LABOUR, INVALID, AND SOCIAL AFFAIRS (DOLISA)

Project	0599549D – Dele Wind Farm Project
Subject	ESIA Engagement with Dak Lak Department of Labour, Invalids, and Social Affairs
Date	15 July 2021
Location	Office of Dak Lak DOLISA
Attendees	DOLISA: Mr.Nguyen Chien Thang - Deputy Head of Department of Labor, Employment and Vocational Education. ERM (Nguyen Quy Hanh & Y Ksor Hue)

Procedure

- Update on the Project progress and ESIA development;
- Information sharing and discussion on environmental issues raised in the Official Letter that the Project sent to the organisation;
 - Department’s 2020 comprehensive report and 2021 semi-annual report provided
- Question and answer session.
 - Consultation on foreign workers
 - Regulations on using local labor
 - Job Creation Policies: Restoring livelihoods.
 - Labor system operating in areas such as Binh Duong and Ho Chi Minh City, etc.

Main Content

Regarding the use of foreign workers: according to the law, priority is given to using local labor, and when Vietnamese workers do not meet the requirements, they must explain the reasons for recruiting foreign workers.

The decision on foreign worker recruitment must be followed:

The Provincial People's Committee authorizes the Department of Labor - Invalids and Social Affairs to approve foreign worker recruitment and issue a work permit if the following criteria are met:

- + Labor management and business administration.
- + Expert (qualified)
- + Technical (qualified)

Unskilled workers are not allowed to be recruited from other countries.

Labor recruitment process: the department collaborates with relevant parties to post a notice of domestic worker recruitment within one month for the contractor to interview in the case of fewer than 100 employees. If Vietnamese workers do not meet the requirements, a document will be sent to the Provincial People's Committee to recruit foreign workers.

Work permit: the province approved 393 positions for foreign workers for the Project. In August 2021, 74 positions for foreign workers are recruited and under recruitment.

Contractors who hire foreign workers are required to submit reports on a regular basis (6 months or 1 year).

When the labor permit expires, contractors must notify the department and return the work permit.

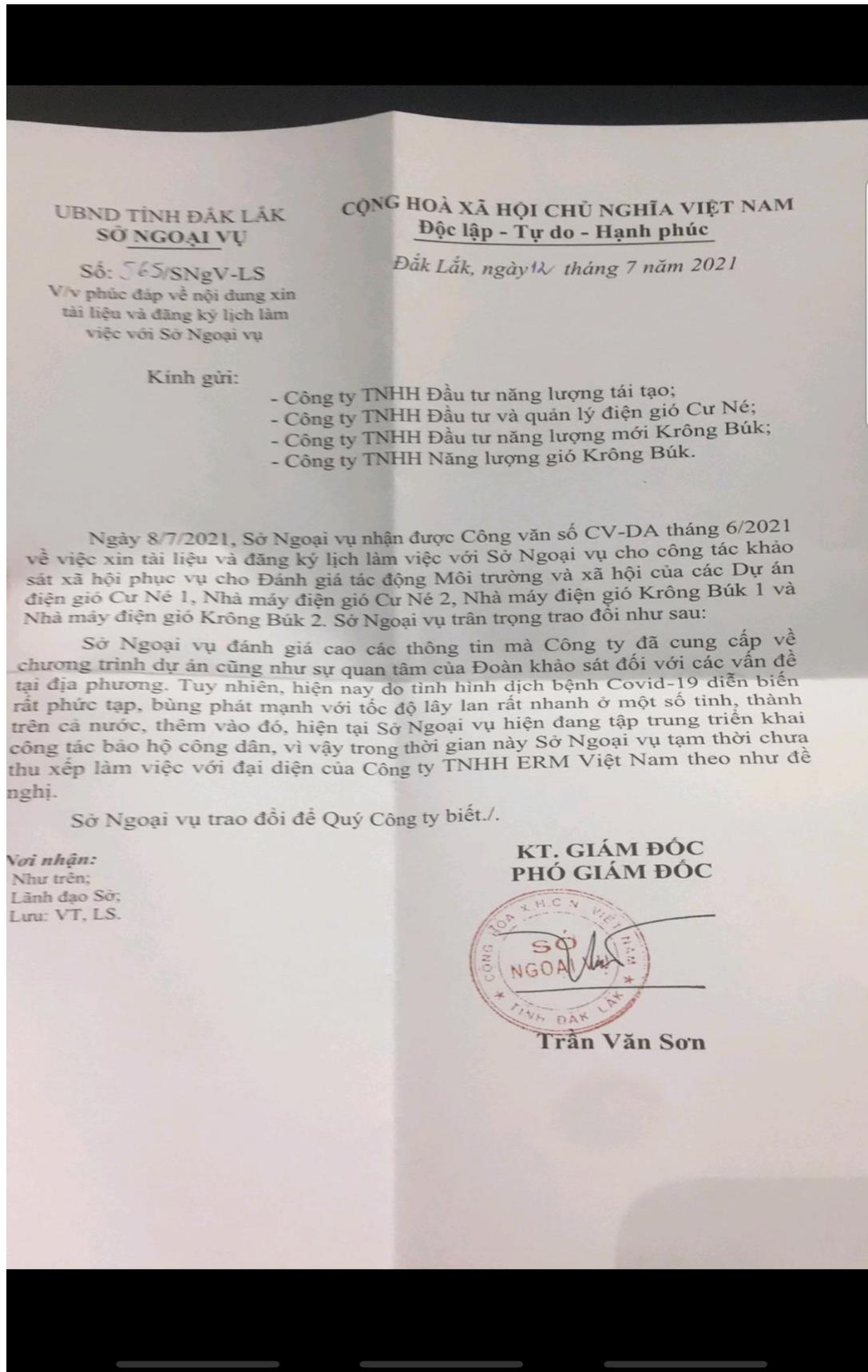
- Gender equality programs have their own goals and criteria.
- The use of labor does not distinguish between men and women.
- Child labor: Some occupations are allowed to use children of a certain age according to regulations, in addition, the use of child labor is prohibited.
- Policy on job training and livelihood restoration.

The government has policies in place for households whose land has been reclaimed in accordance with regulations, such as vocational training and job creation.

Each district has a vocational education and training center at the elementary level.

Representatives from the Department of Invalids, Labor, and Social Affairs will provide the survey team with information, reports, and supporting documents, as well as make recommendations to ensure the lives of people affected by the project.

REFUSING LETTER FROM DAK LAK DEPARTMENT OF FOREIGN AFFAIRS (DOFA)



MINUTE OF MEETING WITH DAK LAK WOMEN'S UNION

Project	0599549D – Dele Wind Farm Project
Subject	ESIA Engagement with Dak Lak Women's Union
Date	15 July 2021
Location	Office of Dak Lak Women's Union
Attendees	Ms. Nguyen Thi Thanh Huong – Permanent Vice Chairwoman of the Dak Lak Women's Union ERM (Nguyen Quy Hanh & Y Ksor Hue)

Procedure

- Update on the Project progress and ESIA development;
- Information sharing and discussion on environmental issues raised in the Official Letter that the Project sent to the organisation;
 - The 2020 comprehensive reports and the early 2021 reports and information based on the functions and duties of the union were provided.
- Question and answer session.
 - The overall assessment of the progresses of women, especially ethnic minority women
 - Programs, policies of the union and national programs related to women.
 - Models of livelihood development for women.

Main Content

Dak Lak Women's Union showed their high appreciation for the Project's consultation with the organisation.

Women's advancements: The majority of the ethnic minority women in the area are the Ede people, who follow the matriarchy, but they have improved in their lifestyles and employment. They have had access to a wealth of information and have taken part in highly specialized training programs to better serve their lives and work structures in government agencies.

Women today have economic independence, proactivity in socioeconomic development, confidence in social integration, and active access to family and childcare knowledge.

Union program and policy: The Party and the State always pay attention to women; create conditions for women to gain access to cultural and social knowledge; there are many programs to develop for women, such as the campaign "Ethnic minority women change their way of thinking and doing" to assist women in becoming self-sufficient in economic and business development; the program "building a happy family, building an equal and progressive family," "supporting women for economic development," "5 no-s and 3 clean-s," and many other policy programs geared toward women.

There are also challenges: some women in remote areas lack access to new information and knowledge, so they are not brave, and they are still passive when it comes to their family life and farming for economic development.

In addition, the Party and the State have separate policies for women, such as cadre work, routine health care, protecting women's rights, women's democratic rights, and policies for disadvantaged women; dialogue with leaders to address women's issues; and policies for disadvantaged women; Always supervise the law on gender equality, children, marriage, and family to meet the requirements of women, etc.

-Models of livelihood development: Support poor households' livelihood models (99 poor ethnic minority's livelihood models), support technical knowledge about planting and animals breeding; model of "green, clean and beautiful village", "the ethnic minority women's households is twinned with good business and production women's households", "non-violent family". Building a "community advisory group" with the goal of assisting in the propagation of laws and legal aids, among other models, has spread widely in the community.

Union representatives highlighted their opinions on the project to create livelihoods, local social security programs impacted by the project, build playgrounds, sports, fitness for the community, and kindergarten construction.

MINUTE OF MEETING WITH KRONG BUK DISTRICT COMMITTEE FOR ETHNIC MINORITY AFFAIRS

Project	0599549D – Dele Wind Farm Project
Subject	ESIA Engagement with Krong Buk District Committee for Ethnic Minority Affairs
Date	15 July 2021
Location	Office of Committee for Ethnic Minority Affairs
Attendees	Committee for Ethnic Minority Affairs: Mr. Y Tuyen Nie – Deputy Head of Division Ms. H Ban – Head of Division Mr. Le Anh Dung - Officer ERM (Nguyen Quy Hanh)

Procedure

- Update on the Project progress and ESIA development;
- Information sharing and discussion on environmental issues raised in the Official Letter that the Project sent to the organisation;
 - The 2020 comprehensive reports and the early 2021 reports and information based on the functions and duties of the union were provided.
- Question and answer session.

Main Content

We are in charge of ethnic minority affairs but we have not known clearly about the Project information. Many industrial projects pay little attention on ethnic minority affairs. Krong Buk District Committee for Ethnic Minority Affairs showed their high appreciation for the Project's consultation with the organisation.

In Krong Buk, there are 106 villages of seven communes. Of which 42 village have ethnic minority people. There are 14 ethnic minority groups in the district. In the district, Kinh people account for 70% of the district population. The remaining are Ede ethnic minority groups and other ethnic minority groups from the North migrating to this area. From 1986, many Kinh and other ethnic minorities households migrated to this area and settled their lives.

Most of ethnic minority households rely on agricultural production which are prone to fluctuating agricultural product prices, pests and diseases.

In terms of Ede cultural values, people often organize a ceremony before conducting any activities. The Project may consider this issue before commencing any activity in the locality.

In Ede households, gender equality can be easily observed even Ede people follow matriarchy system. Husband and wife respect and discuss each other in the decision making process. For them, having a daughter or a son is the same.

Ede woman is always respected. This can be reflected in their daily living. There is no difference in eating habits, both men and women share a meal together. In the family, the oldest woman will be most respected.

The district Committee for Ethnic Minority Affairs is implementing the project on gender equality in the ethnic minority areas.

In terms of community development, there are some proposed programs:

Developing a social welfare fund for local people

Supporting local agricultural production such as breeding (cows, pigs and goats), seeding (high-yield crops) or agricultural inputs and training

Job creation for the local people.

Local people are concerned about long-term impacts of the project to agricultural production, the influx of migrant foreign people who come to work in the locality, and land acquisition. Land acquisition is the most worry to the locals as local people are attached to agricultural production. They find difficulty to purchase another land plots with the land compensation as they tend to spend the compensation amount for daily expense. Difficult living conditions may be a consequence of land acquisition.

In addition, environment pollution and infrastructure degradation during the Project construction need to be tackled to ensure local living conditions of ethnic minority households.

MINUTE OF MEETING WITH KRONG BUK DISTRICT LAND FUND DEVELOPMENT CENTER (LFDC)

Project	0599549D – Dele Wind Farm Project
Subject	ESIA Engagement with Krong Buk Land Fund Development Center
Date	14 July 2021
Location	Office of LFDC
Attendees	LFDC: Mr. Dang Ngoc Them, Director of Krong Buk LFDC ERM (Nguyen Quy Hanh & Y Ksor Hue)

Procedure

- Update on the Project progress and ESIA development;
- Information sharing and discussion on environmental issues raised in the Official Letter that the Project sent to the organisation;
- Question and answer session.
 - Land acquisition process
 - Issues related to the implementation process

Main Content

The provincial investment approvals were granted for the projects to create favorable conditions for businesses to invest in the area.

The Project investor purchased land from the locals for 44 turbines but has yet to complete the procedures for changing the land use purpose.

The projects are engaging in direct negotiations with local residents for land for the remaining turbines and facilities.

The Land Fund Development Center is in contract with the Projects to make the land acquisition process for the projects complied with current State regulations. For the 44 turbine land, LFDC has

- issued a land acquisition notification;
- organised meetings with affected households;
- Verified land use origins.

The LFDC is working with commune authorities on inventory of loss and having it signed. It will take the District People's Committee around 20 days to approve the Compensation, Support and Resettlement (CSR) plan.

For the internal road, the Project is negotiating with households for compensation. If the negotiated price is lower than that regulated by the State, the Project has to pay the household this different amount.

Land for 13 turbine is under the management of An Thuan coffee farm. This land acquisition is proving difficult (the land is in dispute between farmers and the farm).

For personal reasons, some local residents oppose the land acquisition. Some local residents have not yet responded to the land purchase agreement between the investor and them.

After recovering and restoring livelihoods, ethnic minorities should have a job training program.

MINUTE OF MEETING WITH CU PONG COMMUNE PEOPLE’S COMMITTEE (CPC)

Project	0599549 Dele Wind Power Project
Subject	Consultation for ESIA – Meeting with Cư Pong Commune People’ Committee (CPC)
Date	20 May 2021 – 3:30 PM to 4:30 PM
Location	Cư Pong Commune, Krông Buk District, Đắk Lắk Province
Attendees	ERM: Ms. Tram Le – Senior Social Consultant; Mr. Hanh Nguyen - Senior Social Consultant; Ms. Truc Pham – Consultant Representatives of Cư Pong CPC

Agenda

ERM Team – Mr. Hanh Nguyen had started the meeting by introducing the team members, the purpose of the discussion and also its role in developing an Environmental and Social Impact Assessment (ESIA) following the international guidelines for Dele Wind Power Project (WPP) to the local authority of Cư Pong CPC. The Representative of the CPC - Mr. Thanh Tran also introduced the attending members from the CPC and the overall information received from the Project’s owner at the meeting commencement.

Process

General information provided by Cư Pong CPC:

Ethnicity: Indigenous Peoples (IPs) takes nearly 70% of local people which is Anak Raday (also called as Anak Ê Đê People).

Cultural heritage: Gong Culture (Cồng chiêng) and Intangible cultural heritage (phi vật thể);

Livelihood: Local people uses farmland mainly for coffee cultivation. Land acquisition area for Project development is minor which accounts for a small proportion of cultivating land.

Expectation: More recruitments for local people, particularly the IPs.

Potential impacts caused by the Project’s development:

Currently, the CPC has not been updated with sufficient information on the Project’s status and schedule.

The Project locates on the territory of two villages named Chư Kric and Chư Krô in Cư Pong Commune, Krông Buk District, Đắk Lắk Province. During the construction phase, Cư Pong CPC has confirmed that there are some specific impacts induced from the Project implementation including dust and concentrated traffic density at local area caused by heavy-duty vehicles. The quality of the existing road systems are estimated not to meet the demand in case of the competition of the Project development. The CPC recommends to reinstate the local roads to the initial state after the completion of the Project implementation. Other potential impacts from the Project development have not clearly identified due to the lack of information from the Project’s owner updated to the CPC up to now.

Regarding the land acquisition, the CPC has not been updated with any specific procedures from the Project’s owner. Presently, the situation recorded is the private purchase between the Project’s owner and local people who are in the list of land acquisition at the notary public’s office.

In terms of landslide during the construction phase, the CPC presently had not received any grievance or report from local people on this issue. However, the CPC expects that the Project's owner shall develop and apply sufficiently preventive and mitigation measures to protect people's life and properties during the construction phase, particularly in rainy and stormy season with strong wind.

Water resources: The main water source for domestic use of local people is taken from drilling well. However, there is partial lack of water in some specific years, particularly in the dry season leading to the inaccessibility to clean water source of local people. Moreover, local people also uses water well and nearby water bodies for their cultivation. There is no main rivers and streams traversing through the commune in general and in the Project's area in particular.

Security issue during the Project's implementation: With the approach of a worker group to the Project's site, presently, there has not been any record of the social disorders caused by their activities to the residential area. The CPC also calls out the police to supervise regularly the Project's area and the proximity during the implementation. There is also no other wind power projects recorded in the local area.

In the village, the residents live alternately in farming area. There is no households locating inside the radius of 300 m from the wind turbine recorded; only some shelters built by the local people are located near the Project's site serving for their lunch, resting and usage to avoid sunlight and rain during their cultivation. Additionally, the CPC also help provide the information relating to the specific areas where local people are focused living after the meeting.

In Cù Pông Commune, there are two wind turbine foundations which are under construction. The information relating to the 13 remaining wind turbines has not been updated to the CPC by the Project including the construction status and current land acquisition situation. However, the CPC has already had the key contact person of the Project to communicate if necessary.

Other relevant information on the length and location of transmission line traversing through the residential area has not been updated so that the potential impact from the Project's activities on local residents are not clearly identified at the meeting time.

MINUTE OF MEETING WITH CU NE COMMUNE PEOPLE’S COMMITTEE (CPC)

Project	0599549D – Dele Wind Farm Project
Subject	ESIA Engagement with Cu Ne Commune People’s Committee
Date	13 July 2021
Location	Office of Cu Ne Commune People’s Committee
Attendees	Cu Ne CPC: Mr. Luc Duy Phuong - Chairman of the Commune People's Committee Mrs. H My Nie – Commune Women’s Union Mr. Le Huy Thuc – Office of CPC Mr. Vo Thanh Tam - Commune Cadastral ERM (Nguyen Quy Hanh & Y Ksor Hue) Project Representatives: Mr. Nguyen Quy Bac

Agenda

Discussing the commune's overall development in terms of socioeconomics, ethnic groups, women, new countryside, and other distinguishing features.

Working on a community survey in Cu Ne commune to assess the socio-economic situation, the environment, and the impact of the wind power project, as well as local suggestions and aspirations.

Representatives of ERM

Describe the meeting's purpose, including information about wind power projects, local opinions and suggestions, the local economic development situation, requests for socio-economic development reports, data on poor households, new rural areas, and farmer and women's association activities in Cu Ne commune in 2020 and the first six months of 2021.

- The project's goal is to assess the wind power project's impact on society and the environment, as well as the locality's economic development situation and distinguishing features.

Representatives of CPC

The People's Committee's representative delegated the task of providing the necessary information to the appropriate departments.

Representatives of Women Union reported the requirements for programs and models to support women's economic development and family life (see attached report):

The wind power project, according to local women, has an impact on the family's life and affecting crop growth.

The Women’s union programs including 3 key tasks: the “5 No-s 3 Clean-s”, “Study and work knowledge improvement for women”, “support program for women in Creative, Startup, and Development” and other programs.

Supporting production, planting, husbandry, and brocade weaving models for women. It is expected that in the future, the commune will have other models for economic development and environment protection, as well as protection for women's rights.

Due to the difficulties they face when working far away, local women hope for job creation in their community (companies in Sai Gon, Binh Duong, etc).

Representatives of cadastral

Land acquisition: the turbine base and the operator's house, totaling 2.7 hectares, have been recovered.

Access road: work is being done in conjunction with the Land Fund Development Center to expand routes to the foot of the pillar, acquire land, and change the land's purpose. An Thuan coffee farm is developing a plan for the land under its management.

Site clearance: The owner is currently negotiating with the residents about the land, footings, and transportation routes.

Ea Nguoi, Ea Siek, Hamlet 6, Drah village 1, Buon Drah 2, Ea Krom, Buon Kdro 1, Buon Kdro 2, Buon Kmu, Hamlet Ea Kung are potential affected villages and hamlets

The Commune People's Committee agreed to provide the group with documents as well as referrals to the survey site.

The impact assessment of the project should consider to all related impacts and prioritising the local recruitment (e.g. project's affected households and wider community).

MINUTE OF MEETING WITH EA SIN COMMUNE PEOPLE'S COMMITTEE (CPC)

Project	0599549D – Dele Wind Farm Project
Subject	ESIA Engagement with Ea Sin Commune People's Committee
Date	13 July 2021
Location	Office of Ea Sin Commune People's Committee
Attendees	Ea Sin CPC: Mr. Chang – Chairman of the People's Committee Ms. H Lora Mlo – Women's Union Ms. Huyen – Officer of CPC Mr. Hoang - Commune Cadastral ERM (Nguyen Quy Hanh & Y Ksor Hue) Project Representatives: Mr. Nguyen Quy Bac

Agenda

The commune's overall development status in terms of socioeconomics, ethnicity, women, new land, and other distinguishing characteristics.

Land acquisition process.

The organization of a community survey on the impact of the wind power project in Ea Sin commune.

Local residents' thoughts, suggestions, and aspirations

Process

-The representative of ERM: Presenting the objectives of the workshop, including information on the wind power project. Local opinions and proposals. Local economic development situation. Asking for socio-economic development reports, poor household data reports, new rural areas, activities of the Ea Sin Farmers and Women's Union in 2020 and the first 6 months of 2021.

- The purpose of the project is to assess the impact of the wind power project on society and the environment, as well as the locality's economic development situation and unique features.

- Representatives of the People's Committee:

The following is an overview of the commune: 816 households with 3100 people; 100% agricultural economy (coffee, pepper, durian, cashew, etc.) (details to be provided later); 30% of households are poor (send detailed report later).

Wind energy projects in two villages, Ea Mak (Ea My) and Cu Kbieng (Ea Kring), are currently under construction of one pillar and have had an impact on the environment, roads, crops, dust, and other factors. Because construction has not yet begun (according to public feedback), traffic and other factors are unknown.

The commune cadastral reported on the development of the land use plan in 2022, and the contractor will make an agreement to buy back the land on the foundation and widen the road directly with the people.

- The representative of the People's Committee provided additional information that is the place where wind power poles are built, mainly invasive households are affected.

The Ede people are the main ethnic group in the area, and they follow a matrilineal system. Working in the area can be difficult due to language barriers and the need to capture 2-way information during the work process.

- Information from women representative: there are many programs in the local to support women stabilize their lives, such as “5 no-s 3 clean-s programs”, “flower paths”, “areca planting on 2 sides of the paths” and other economic development models such as: planting fruit trees (orange); husbandry models with goats, rabbits, pigs, etc. Furthermore, child marriage is still prevalent in the area.

- Farmers' Association representative: The main crops in the area are industrial crops like coffee, durian, pepper, avocado, and so on, which are the people's main source of income and are affected by prices and weather.

Currently, the commune does not have a cooperative; instead, it has a production chain with the intention of forming one.

The Commune People's Committee representative proposed that the project include a support program for the commune's new rural program, which includes concentrated residential areas, markets, reservoirs, and dams, as well as the construction of schools and roads.

Representatives of the Commune People's Committee agreed to provide reports and facilitate the survey team to work in the commune.

MINUTE OF MEETING WITH CHU KBO COMMUNE PEOPLE'S COMMITTEE (CPC)

Project	0599549D – Dele Wind Farm Project
Subject	ESIA Engagement with Chu Kbo Commune People's Committee
Date	14 July 2021
Location	Office of Chu Kbo Commune People's Committee
Attendees	Chu Kbo CPC: Mr. Nguyen Van Hue - Chairman of the Commune People's Committee Mr. Nguyen Truong Minh – Vice Chairman of the Commune People's Committee Mr. Le - Commune Cadastral. ERM (Nguyen Quy Hanh & Y Ksor Hue) Project Representatives: Mr. Nguyen Quy Bac

Agenda

Discussing the commune's overall development situation in terms of socioeconomic, ethnic groups, women, new countryside, and other notable features.

Working on organizing a community survey in Cu Kbo commune on the socio-economic situation, the environment, and the impact of the wind power project, as well as the community's suggestions and aspirations.

Process*Representatives of ERM*

The purpose of the working session is presented as follows: information about wind power projects; local opinions and suggestions; the state of local economic development; a request for socio-economic development reports; a report on data from poor households, new rural areas; and the activities of farmers' unions and commune women Cu Kbo in 2020 and the first six months of 2021

Presenting the purpose of the project: assess the impact of the wind power project on society and the environment; assess the local economic development situation and local outstanding features.

Representatives of leaders of Cu Kbo commune

Reports will be sent to delegation on the general development of the commune in terms of economy, society, farmers and new rural areas.

Impact and assessment of the impacts of wind power projects: public opinion has not been captured, and there are some mixed opinions. And, for the time being, the commune is still adhering to the government's guidelines.

And there isn't much information about the project at the moment. The investor implements the project without first establishing procedures for changing the commune's land use purpose.

Some villagers are concerned about the project's impact on life and production, including noise, dust, and risks.

Because it is outside the impact area, the project has no impact on ethnic minorities.

Representatives of commune cadastral

The investor negotiates with individual households during the land acquisition process; the procedures do not go through the local government; the investor buys directly from the people and then transfers the procedures to the Land Fund Development Center.

There are currently no statistics available on road expansion or material transport.

Representatives from the People's Committee agreed to provide the delegation with reports as needed and proposed programs for local development and livelihood restoration.

APPENDIX D LIST OF PARTICIPANTS AND PHOTO LOGS DURING ESIA DEVELOPMENT

LIST OF HOUSEHOLD INTERVIEWEES

No.	Households Code	Interviewee's Name	Household head's name	Ethnicity	Village	Commune	Date of Interview
1	CN01	Trần Minh Tứ	Trần Minh Tứ	Kinh	Kdro 1	Cu Ne	14/07/2021
2	CN02	Nguyễn Trọng Lưu	Nguyễn Đình Thọ	Kinh	Kdro 1	Cu Ne	14/07/2021
3	CN03	Phạm Ngọc Phương	Phạm Ngọc Phương	Kinh	Kdro 1	Cu Ne	14/07/2021
4	CN04	Nguyễn Văn Anh	Nguyễn Văn Anh	Kinh	Kdro 1	Cu Ne	14/07/2021
5	CN05	Hoàng Thị Quý	Hoàng Thị Quý	Kinh	Kdro 1	Cu Ne	14/07/2021
6	CN06	Võ Văn Sơn	Võ Văn Sơn	Kinh	Kdro 1	Cu Ne	14/07/2021
7	CN07	Nguyễn Văn Duân	Nguyễn Văn Duân	Kinh	Kdro 1	Cu Ne	14/07/2021
8	CN08	Nguyễn Quốc Trung	Nguyễn Quốc Trung	Kinh	Kdro 1	Cu Ne	14/07/2021
9	CN09	Nguyễn Văn Lập	Nguyễn Văn Lập	Kinh	Kdro 1	Cu Ne	14/07/2021
10	CN10	H Biên Mlô	H Biên Mlô	Ede	Kdro 1	Cu Ne	14/07/2021
11	CN11	H Đin Niê	Y Tim Mlô	Ede	Kdro 1	Cu Ne	14/07/2021
12	CN12	Y Nêch Niê	Y Ke Ju Mlo	Ede	Kdro 1	Cu Ne	14/07/2021
13	CN13	Y Hiếu Mlô	Y Hiếu Mlô	Ede	Kdro 1	Cu Ne	14/07/2021
14	CN14	Y Lâm Mlo	Y Lâm Mlo	Ede	Kdro 1	Cu Ne	14/07/2021
15	CN15	H Mừng Niê	Y Khem Ayun	Ede	Kdro 1	Cu Ne	14/07/2021
16	CN16	Y Bhi Niê	Y Bhi Niê	Ede	Drah 2	Cu Ne	14/07/2021
17	CN17	Y Jin Mlo	H Thâm Mlo	Ede	Kdro 2	Cu Ne	14/07/2021
18	CN18	H Dít Mlô	Y EI Niê	Ede	Kdro 2	Cu Ne	15/07/2021
19	CN19	H Nuộc Niê	Y Tzun Ayun	Ede	Kdro 2	Cu Ne	15/07/2021
20	CN20	Y Ngọc Knuôi	Y Ngọc Knuôi	Ede	Kdro 2	Cu Ne	15/07/2021
21	CN21	H Rôda Mlô	Y Sy Mlô	Ede	Kdro 2	Cu Ne	15/07/2021
22	CN22	H Bloan Mlô	Y Glen Knul	Ede	Kdro 2	Cu Ne	15/07/2021
23	CN23	Y Nhô Niê	Y Nhô Niê	Ede	Kdro 2	Cu Ne	15/07/2021
24	CN24	H Mai Niê	Y Pấu Mlo	Ede	Kdro 2	Cu Ne	15/07/2021
25	CN25	H Blem Mlô	Nay Hem	Ede	Kdro 2	Cu Ne	15/07/2021
26	CN26	H Hách Niê	Y Nhân Mlô	Ede	Kdro 2	Cu Ne	15/07/2021
27	CN27	H Hiung Niê	Y Khanh Niê	Ede	Kdro 2	Cu Ne	15/07/2021
28	CN28	Nguyễn Đức Hiếu	Nguyễn Đức Hiếu	Kinh	Ea Kung	Cu Ne	14/07/2021
29	CN29	Nguyễn Văn Đạn	Nguyễn Văn Đạn	Kinh	Ea Kung	Cu Ne	14/07/2021
30	CN30	Y Sơm Mlô	H Chel Ayun	Ede	Ea Kung	Cu Ne	14/07/2021
31	CN31	Nguyễn Đạt Tinh	Nguyễn Đạt Tính	Kinh	Ea Kung	Cu Ne	14/07/2021

No.	Households Code	Interviewee's Name	Household head's name	Ethnicity	Village	Commune	Date of Interview
32	CN32	H Duyên Niê	Y Thoang Mlo	Ede	Ea Kung	Cu Ne	14/07/2021
33	CN33	H Giêm Miô	Y Sik Niê	Ede	Drah 1	Cu Ne	14/07/2021
34	CN34	Y Thoai Miô	Y Thoai Miô	Ede	Drah 1	Cu Ne	15/07/2021
35	CN35	H Mol Miô	H Mol Miô	Ede	Drah 1	Cu Ne	15/07/2021
36	CN36	Y Sinh Niê	Y Sinh Niê	Ede	Drah 1	Cu Ne	15/07/2021
37	CN37	Y Phon Mlo	Y Phon Mlo	Ede	Drah 1	Cu Ne	15/07/2021
38	CN38	H' Nam Niê	Y Đương Mlo	Ede	Drah 1	Cu Ne	14/07/2021
39	CN39	H BĤê Miô	Y Niêm Niê	Ede	Drah 1	Cu Ne	15/07/2021
40	CN40	H Crep Niê	H BĤê Niê	Ede	Drah 1	Cu Ne	15/07/2021
41	CN41	H Sơm Miô	Y Ger Niê	Ede	Drah 1	Cu Ne	15/07/2021
42	CN42	H Nenh Niê	Y Đoan Niê	Ede	Drah 1	Cu Ne	15/07/2021
43	CN43	H Niêp Niê	Y ĐấT Niê	Ede	Drah 1	Cu Ne	15/07/2021
44	CN44	H Thi Miô	Y Manh Niê	Ede	Drah 2	Cu Ne	14/07/2021
45	CN45	H Rác Niê	H Rác Niê	Ede	Drah 2	Cu Ne	14/07/2021
46	CN46	H Nghen Miô	Y Khiêm Niê	Ede	Drah 2	Cu Ne	14/07/2021
47	CN47	Y Năi MLô	Y Năi MLô	Ede	Drah 2	Cu Ne	14/07/2021
48	CN48	Y Mú Miô	Y Mú Miô	Ede	Drah 2	Cu Ne	14/07/2021
49	CN49	Y Sơ Ba Ksor	Y Sơ Ba Ksor	Ede	Drah 2	Cu Ne	14/07/2021
50	CP01	Ra Lan Peo	Ra Lan Peo	Ede	Ea Bro	Cu Pong	13/07/2021
51	CP02	Y Sonh Kđoh	Y Sonh K'Đoh	Ede	Ea Bro	Cu Pong	13/07/2021
52	CP03	H Dớ Kđoh	H Dớ K'Đoh	Ede	Ea Bro	Cu Pong	13/07/2021
53	CP04	Y Doanh Niê	Y Doanh Niê	Ede	Ea Bro	Cu Pong	13/07/2021
54	CP05	Trương Tấn Hùng	Trương Tấn Hùng	Kinh	Ea Bro	Cu Pong	13/07/2021
55	CP06	H Bách Niê	Y Yứk Ayun	Ede	Ea Bro	Cu Pong	13/07/2021
56	CP07	Y Truynh Mjao	Y Truynh Mjao	Ede	Ea Bro	Cu Pong	13/07/2021
57	CP08	H'Việt Niê	Y Wang Niê	Ede	Ea Bro	Cu Pong	13/07/2021
58	CP09	Y Vinh Niê Kđăm	Y thoanh Mlo	Ede	Ea Bro	Cu Pong	13/07/2021
59	CP10	Đinh Văn Hưng	Đinh Văn Hưng	Ede	Ea Bro	Cu Pong	13/07/2021
60	CP11	Nguyễn Thị Huệ	Tô Hồng Phong	Kinh	Ea Bro	Cu Pong	13/07/2021
61	CP12	Y Núi Niê	Y Núi Niê	Ede	Ea Bro	Cu Pong	13/07/2021
62	CP13	Y Brăk Adrong	Y Brăk Adrong	Ede	Ea Bro	Cu Pong	13/07/2021
63	CP14	H Cíp Ayun	Y Duyên Niê	Ede	Ea Bro	Cu Pong	13/07/2021
64	CP15	Phạm Đình Phú	Phạm Đình Phú	Kinh	Ea Bro	Cu Pong	13/07/2021
65	CP16	H Min M chơao	Kpia Knon	Ede	Ea Bro	Cu Pong	13/07/2021

No.	Households Code	Interviewee's Name	Household head's name	Ethnicity	Village	Commune	Date of Interview
66	CP17	H But Niê	Y Thinh	Ede	Ea Bro	Cu Pong	13/07/2021
67	CP18	Y Nêch Adrong	Y Nêch Adrong	Ede	Ea Bro	Cu Pong	13/07/2021
68	CP19	Y Per Niê	Y Per Niê	Ede	Ea Bro	Cu Pong	13/07/2021
69	CP20	Hồ Tấn Cường	Hồ Tấn Cường	Kinh	Ea Bro	Cu Pong	13/07/2021
70	CP21	Trần Văn Nghĩa	Trần Văn Nghĩa	Kinh	Ea Bro	Cu Pong	13/07/2021
71	CP22	Y Chiên Niê	Y Chiên Niê	Ede	Ea Bro	Cu Pong	13/07/2021
72	CP23	Y Chôi Adrong	Y Chôi Adrong	Ede	Ea Bro	Cu Pong	13/07/2021
73	CP24	Y Phu	Y Phu	Ede	Cu Hriet	Cu Pong	13/07/2021
74	CP25	Y Klong Mlô	Y Klong Mlô	Ede	Cu Hriet	Cu Pong	13/07/2021
75	CP26	H Liap Niê	H Liap Niê	Ede	Cu Hriet	Cu Pong	13/07/2021
76	CP27	Bùi Văn Nguyên	Bùi Văn Nguyên	Kinh	Cu Hriet	Cu Pong	13/07/2021
77	CP28	Y Sio Ayun	Y Sio Ayun	Ede	Cu Hriet	Cu Pong	13/07/2021
78	CP29	Y Sút Kbuôn	Y Sút Kbuôn	Ede	Cu Hriet	Cu Pong	13/07/2021
79	CP30	H Kiết Niê	Y Ý Kđoh	Ede	Cu Hriet	Cu Pong	13/07/2021
80	CP31	Y Kliu Êban	Y Kliu Êban	Ede	Cu Hriet	Cu Pong	13/07/2021
81	CP32	H Ly Kđoh	Nay Cao	Ede	Cu Hriet	Cu Pong	13/07/2021
82	CP33	Vũ Văn Sơn	Vũ Văn Sơn	Kinh	Cu Hriet	Cu Pong	13/07/2021
83	CP34	Y Jơn Niê	Y Jơn Niê	Ede	Cu Hriet	Cu Pong	13/07/2021
84	CP35	Huỳnh Tấn Thanh	Huỳnh Tấn Thanh	Kinh	Cu Hriet	Cu Pong	13/07/2021
85	CP36	Y Thai Adrong	Y Thai Adrong	Ede	Cu Hriet	Cu Pong	13/07/2021
86	CP37	Nguyễn Xuân Trường	Nguyễn Xuân Trường	Kinh	Cu Hriet	Cu Pong	13/07/2021
87	CP38	Y Bưng Niê	Y Bưng Niê	Ede	Ea Bro	Cu Pong	13/07/2021
88	CP39	Y Karo	Y Karo	Ede	Cu Hriet	Cu Pong	13/07/2021
89	CP40	H Ruê Kđoh	Y Sét Niê	Ede	Cu Hriet	Cu Pong	13/07/2021
90	CP41	Ae Sao	Ae Sao	Ede	Cu Hriet	Cu Pong	13/07/2021
91	CP42	Y Suil	Y Suil	Ede	Cu Hriet	Cu Pong	13/07/2021
92	CP43	H Lơ Ka Sơ	H Lơ Ka Sơ	Ede	Cu Hriet	Cu Pong	13/07/2021
93	CP44	Y Brốc Niê	Y Brốc Niê	Ede	Cu Hriet	Cu Pong	13/07/2021
94	CP45	Y Tio Niê	Y Tio Niê	Ede	Cu Hriet	Cu Pong	13/07/2021
95	CP46	Nguyễn Xuân Hòa	Nguyễn Xuân Hòa	Ede	Cu Hriet	Cu Pong	13/07/2021
96	ES01	Nguyễn Thanh Hồ	Nguyễn Thanh Hồ	Kinh	Ea My	Ea Sin	14/07/2021
97	ES02	Phan Thanh Giản	Phan Thanh Giản	Kinh	Ea My	Ea Sin	14/07/2021
98	ES03	Nguyễn Thạc Phong	Nguyễn Thạc Phong	Kinh	Ea My	Ea Sin	14/07/2021

No.	Households Code	Interviewee's Name	Household head's name	Ethnicity	Village	Commune	Date of Interview
99	ES04	Hồ Việt Sinh	Hồ Việt Sinh	Kinh	Ea My	Ea Sin	14/07/2021
100	ES05	Nguyễn Thị Thuỷ	Trần Ngọc Dũng	Kinh	Ea My	Ea Sin	14/07/2021
101	ES06	Trần Hoài Mong	Trần Hoài Mong	Kinh	Ea My	Ea Sin	14/07/2021
102	ES07	Lê Thị Oanh	Phan Đình Tùng	Kinh	Ea My	Ea Sin	14/07/2021
103	ES08	Phan Thị Dung	Lê Quang Cường Nam	Kinh	Ea My	Ea Sin	14/07/2021
104	ES09	Võ Thành Phi	Võ Thành Phi	Kinh	Ea My	Ea Sin	14/07/2021
105	ES10	Trần Xuân Hoàng	Trần Xuân Huệ	Kinh	Ea My	Ea Sin	14/07/2021
106	ES11	Lê Thị Thảo	Lê Kim Tuấn	Kinh	Ea My	Ea Sin	14/07/2021
107	ES12	Đặng Thị Bé	Lê Thị Loan	Kinh	Ea My	Ea Sin	14/07/2021
108	ES13	Nguyễn Bình Giang	Nguyễn Bình Giang	Kinh	Ea My	Ea Sin	14/07/2021
109	ES14	Hoàng Văn Bền	Hoàng Văn Bền	Kinh	Ea My	Ea Sin	14/07/2021
110	ES15	Nguyễn Ngọc Hùng	Nguyễn Ngọc Hùng	Kinh	Ea My	Ea Sin	14/07/2021
111	ES16	Phan Văn Diện	Phan Văn Diện	Kinh	Ea My	Ea Sin	14/07/2021
112	ES17	Lưu Văn Bích	Lưu Văn Bích	Kinh	Ea My	Ea Sin	14/07/2021
113	ES18	Vy Tấn Lập	Vy Tấn Lập	Kinh	Ea My	Ea Sin	14/07/2021
114	ES19	Phạm Thị Nhung	Vũ Văn Nhất	Kinh	Ea My	Ea Sin	14/07/2021
115	ES20	Phạm Thị Mỹ Hiền	Phạm Văn Dũng	Kinh	Ea My	Ea Sin	14/07/2021
116	ES21	Phạm Văn Vinh	Phạm Văn Vinh	Kinh	Ea My	Ea Sin	14/07/2021
117	ES22	Phạm Hồng Trung	Phạm Hồng Trung	Kinh	Ea My	Ea Sin	14/07/2021
118	ES23	Võ Chí Công	Võ Chí Công	Kinh	Ea My	Ea Sin	14/07/2021
119	ES24	Nguyễn Thị Hà	Ngô Văn Lành	Kinh	Ea My	Ea Sin	14/07/2021
120	ES25	Võ Hồng Đông	Võ Hồng Đông	Kinh	Ea My	Ea Sin	14/07/2021
121	ES26	Ngô Thị Mến	Ngô Thị Mến	Kinh	Ea My	Ea Sin	14/07/2021
122	ES27	Nguyễn Văn Luật	Nguyễn Văn Luật	Kinh	Ea My	Ea Sin	14/07/2021
123	ES28	Đặng Thị Thu Yên	Hồ Trình	Kinh	Ea My	Ea Sin	14/07/2021
124	CK01	Nguyễn Văn Vinh	Nguyễn Văn Vinh	Kinh	Kty 4	Chu Kbo	15/07/2021
125	CK02	Nguyễn Văn Luân	Nguyễn Văn Luân	Kinh	Kty 4	Chu Kbo	15/07/2021
126	CK03	Nguyễn Thị Hoa	Nguyễn Hữu Nghiệm	Kinh	Kty 4	Chu Kbo	15/07/2021
127	CK04	Nguyễn Thị Thơ	Hồ Ngọc Trung	Kinh	Kty 4	Chu Kbo	15/07/2021
128	CK05	Nguyễn Thị Châu	Nguyễn Văn Châu	Kinh	Kty 4	Chu Kbo	15/07/2021
129	CK06	Trần Thị Hương	Phạm Xuân Tiến	Kinh	Kty 4	Chu Kbo	15/07/2021
130	CK07	Hoàng Thị Hải	Nguyễn Xuân Trạch	Kinh	Kty 4	Chu Kbo	15/07/2021

No.	Households Code	Interviewee's Name	Household head's name	Ethnicity	Village	Commune	Date of Interview
131	CK08	Võ Thị Tiên	Nguyễn Văn Thưởng	Kinh	Kty 4	Chu Kbo	15/07/2021
132	CK09	Nguyễn Thị Thao	Nguyễn Đức Lĩnh	Kinh	Kty 4	Chu Kbo	15/07/2021
133	CK10	Nguyễn Văn Thỏ	Nguyễn Văn Thỏ	Kinh	Kty 4	Chu Kbo	15/07/2021
134	CK11	Lê Hữu Lương	Lê Hữu Lương	Kinh	Kty 5	Chu Kbo	15/07/2021
135	CK12	Lê Hữu Thướng	Lê Hữu Thướng	Kinh	Kty 5	Chu Kbo	15/07/2021
136	CK13	Nguyễn Thị Mười	Nguyễn Hữu Yên	Kinh	Kty 5	Chu Kbo	15/07/2021
137	CK14	Nguyễn Doãn Quân	Nguyễn Doãn Tiến	Kinh	Kty 5	Chu Kbo	15/07/2021
138	CK15	Phạm Thị Lữ	Phạm Thị Lữ	Kinh	Kty 5	Chu Kbo	15/07/2021
139	CK16	Ngô Thị Oanh	Lê Bá Long	Kinh	Kty 5	Chu Kbo	15/07/2021
140	CK17	Lê Hữu Thanh	Lê Hữu Thanh	Kinh	Kty 5	Chu Kbo	15/07/2021
141	CK18	Phan Đình Tài	Phan Đình Tài	Kinh	Kty 5	Chu Kbo	15/07/2021
142	CK19	Nguyễn Văn Chung	Nguyễn Văn Chung	Kinh	Kty 5	Chu Kbo	15/07/2021
143	CK20	Lê Khắc Giới	Lê Khắc Giới	Kinh	Kty 5	Chu Kbo	15/07/2021
144	CK21	Nguyễn Thanh Tuấn	Nguyễn Thanh Tuấn	Kinh	Kty 4	Chu Kbo	15/07/2021

LIST OF FGD PARTICIPANTS

No.	Name of Participants	Village	Commune	District	Date of Interview
1. Ethnic Minority Group					
1	Y Kléché Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
2	Y Tim Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
3	Đặng Lý Hùng	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
4	Y Yô Adrong	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
5	Y Prủi Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
6	Y Sit Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
7	Y Sâi Kriêng	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
8	Phan Đình Nhơn	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
9	H Huyền Kbuôr	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
10	H Nui Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
11	H Ly Ayủn	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
2. Vulnerable Group					
12	H Puh Adrong	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
13	H Khiêr Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
14	H Nga Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
15	Y Thế Hmor	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
16	H Ngier Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
17	H Lar Drong	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
18	H Cỏn Ayủn	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
19	H Brech Ayủn	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
3. Wage-based livelihood Group					
20	H Loang Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
21	H Bé Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
22	H Rim Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
23	H Am Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
24	H Thủy Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
25	H Nhao Adrong	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
26	H Ó Ayun	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
27	H Dút Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
28	H Van Niê	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
29	H Chỏch Mjao	Cu Hriet	Cu Pong	Krong Buk	13/07/2021
30	Y Liêm Ayun	Cu Hriet	Cu Pong	Krong Buk	13/07/2021

No.	Name of Participants	Village	Commune	District	Date of Interview
4. Women Group					
31	H Bách Niê	Ea Bro	Cu Pong	Krong Buk	13/07/2021
32	H Rìng Adrông	Ea Bro	Cu Pong	Krong Buk	13/07/2021
33	H Ngìêk Niê	Ea Bro	Cu Pong	Krong Buk	13/07/2021
34	H Ben Niê	Ea Bro	Cu Pong	Krong Buk	13/07/2021
35	H Đư Niê	Ea Bro	Cu Pong	Krong Buk	13/07/2021
36	H Danh Niê	Ea Bro	Cu Pong	Krong Buk	13/07/2021
37	H Việt Niê	Ea Bro	Cu Pong	Krong Buk	13/07/2021
38	H Yở Kđoh	Ea Bro	Cu Pong	Krong Buk	13/07/2021
39	H Đăm Êban	Ea Bro	Cu Pong	Krong Buk	13/07/2021
40	H Ly Niê	Ea Bro	Cu Pong	Krong Buk	13/07/2021
41	H Ry Niê	Ea Bro	Cu Pong	Krong Buk	13/07/2021
5. Agricultural and Forestry Group					
42	Nguyễn Thị Hệ	Ea Bro	Cu Pong	Krong Buk	13/07/2021
43	Phạm Đình Phú	Ea Bro	Cu Pong	Krong Buk	13/07/2021
44	Trương Tấn Hùng	Ea Bro	Cu Pong	Krong Buk	13/07/2021
45	H Rem Adrông	Ea Bro	Cu Pong	Krong Buk	13/07/2021
46	Y Per Niê	Ea Bro	Cu Pong	Krong Buk	13/07/2021
47	Y Chiên Niê	Ea Bro	Cu Pong	Krong Buk	13/07/2021
48	Y Brák Adrông	Ea Bro	Cu Pong	Krong Buk	13/07/2021
49	Y Grắc Ayủn	Ea Bro	Cu Pong	Krong Buk	13/07/2021
50	Y Sônհ Kđoh	Ea Bro	Cu Pong	Krong Buk	13/07/2021
6. Agricultural and Forestry Group					
51	Phan Thanh Giản	Ea My	Ea Sin	Krong Buk	14/07/2021
52	Hồ Viết Sinh	Ea My	Ea Sin	Krong Buk	14/07/2021
53	Trần Hoài Mong	Ea My	Ea Sin	Krong Buk	14/07/2021
54	Hồ Thị Hồng Lê	Ea My	Ea Sin	Krong Buk	14/07/2021
55	Phan Văn Diện	Ea My	Ea Sin	Krong Buk	14/07/2021
56	Nguyễn Thị Ngọc	Ea My	Ea Sin	Krong Buk	14/07/2021
7. Ethnic minority Group					
57	Y Hiếu Miô	Kdro 1	Cu Ne	Krong Buk	14/07/2021
58	Y Néch Niê	Kdro 1	Cu Ne	Krong Buk	14/07/2021
59	Y Mi Niê	Kdro 1	Cu Ne	Krong Buk	14/07/2021
60	H Biên Miô	Kdro 1	Cu Ne	Krong Buk	14/07/2021
61	Y Mrong	Kdro 1	Cu Ne	Krong Buk	14/07/2021

No.	Name of Participants	Village	Commune	District	Date of Interview
62	H Tuyết Niê	Kdro 1	Cu Ne	Krong Buk	14/07/2021
63	Y Tim Mlô	Kdro 1	Cu Ne	Krong Buk	14/07/2021
64	H Đìn Niê	Kdro 1	Cu Ne	Krong Buk	14/07/2021
65	H Nga Niê	Kdro 1	Cu Ne	Krong Buk	14/07/2021
8. Wage-based livelihood Group					
66	Nguyễn Thị Xuân	Ea Kung	Cu Ne	Krong Buk	14/07/2021
67	Phạm Thị Hiền	Ea Kung	Cu Ne	Krong Buk	14/07/2021
68	Trần Thị Bình	Ea Kung	Cu Ne	Krong Buk	14/07/2021
69	Phạm Thị Hoa	Ea Kung	Cu Ne	Krong Buk	14/07/2021
70	Đào Thị Hải	Ea Kung	Cu Ne	Krong Buk	14/07/2021
71	Ngô Thị Nga	Ea Kung	Cu Ne	Krong Buk	14/07/2021
72	Trương Thị Bé	Ea Kung	Cu Ne	Krong Buk	14/07/2021
73	Phạm Thị Hoa	Ea Kung	Cu Ne	Krong Buk	14/07/2021
74	Bùi Thị Hiền	Ea Kung	Cu Ne	Krong Buk	14/07/2021
75	Hồ Thị Kế	Ea Kung	Cu Ne	Krong Buk	14/07/2021
9. Women Group					
76	H Nghoen Niê	Drah 2	Cu Ne	Krong Buk	14/07/2021
77	H Phim Niê	Drah 2	Cu Ne	Krong Buk	14/07/2021
78	H Nghên Mlô	Drah 2	Cu Ne	Krong Buk	14/07/2021
79	H Rap Niê	Drah 2	Cu Ne	Krong Buk	14/07/2021
80	H Nuynh Mlô	Drah 2	Cu Ne	Krong Buk	14/07/2021
81	Nguyễn Thị Thu Hải	Drah 2	Cu Ne	Krong Buk	14/07/2021
82	H Chiếc Niê	Drah 2	Cu Ne	Krong Buk	14/07/2021
10. Mixed-livelihood Group					
83	H Blem Mlô	Kdro 2	Cu Ne	Krong Buk	15/07/2021
84	H Nách Niê	Kdro 2	Cu Ne	Krong Buk	15/07/2021
85	H Bloan Mlô	Kdro 2	Cu Ne	Krong Buk	15/07/2021
86	H Mai Niê	Kdro 2	Cu Ne	Krong Buk	15/07/2021
87	H Dít Mlô	Kdro 2	Cu Ne	Krong Buk	15/07/2021
88	H Hi Ung Niê	Kdro 2	Cu Ne	Krong Buk	15/07/2021
89	H Nuôn	Kdro 2	Cu Ne	Krong Buk	15/07/2021
90	Y Nhô Niê	Kdro 2	Cu Ne	Krong Buk	15/07/2021
91	H Ropa Mlô	Kdro 2	Cu Ne	Krong Buk	15/07/2021
92	Y Lem Mlô	Kdro 2	Cu Ne	Krong Buk	15/07/2021
93	H Sly Mlô	Kdro 2	Cu Ne	Krong Buk	15/07/2021

No.	Name of Participants	Village	Commune	District	Date of Interview
11. Vulnerable Group					
94	H Tók Niê	Kdro 2	Cu Ne	Krong Buk	15/07/2021
95	H Niên Niê	Kdro 2	Cu Ne	Krong Buk	15/07/2021
96	Y Biêr	Kdro 2	Cu Ne	Krong Buk	15/07/2021
97	Lý Thị Thắng	Kdro 2	Cu Ne	Krong Buk	15/07/2021
98	Y Nghiêni Niê	Kdro 2	Cu Ne	Krong Buk	15/07/2021
99	Y Khiêni Niê	Kdro 2	Cu Ne	Krong Buk	15/07/2021
100	Y Nhất Mlô	Kdro 2	Cu Ne	Krong Buk	15/07/2021
101	Tạ Thị Kim Anh	Kdro 2	Cu Ne	Krong Buk	15/07/2021
102	Y Ngọc	Kdro 2	Cu Ne	Krong Buk	15/07/2021
12. Agrivultural and Forestry Group					
103	Diu Mlo	Drah 1	Cu Ne	Krong Buk	15/07/2021
104	Y Pôl Mlo	Drah 1	Cu Ne	Krong Buk	15/07/2021
105	Y Bluôn Mlo	Drah 1	Cu Ne	Krong Buk	15/07/2021
106	J Am Mlo	Drah 1	Cu Ne	Krong Buk	15/07/2021
107	Lager Niê	Drah 1	Cu Ne	Krong Buk	15/07/2021
108	Y Brai Mlo	Drah 1	Cu Ne	Krong Buk	15/07/2021
109	Y Nhe Mlo	Drah 1	Cu Ne	Krong Buk	15/07/2021
110	H Mem Niê	Drah 1	Cu Ne	Krong Buk	15/07/2021
111	H Trang Niê	Drah 1	Cu Ne	Krong Buk	15/07/2021
112	H Ré Mlo	Drah 1	Cu Ne	Krong Buk	15/07/2021
113	H Thâu Mlo	Drah 1	Cu Ne	Krong Buk	15/07/2021
114	Y Sác Mlo	Drah 1	Cu Ne	Krong Buk	15/07/2021
115	H Mai Mlo	Drah 1	Cu Ne	Krong Buk	15/07/2021
13. Vulnerable Group					
116	Trần Thị Thanh	Kty 4	Chu Kbo	Krong Buk	15/07/2021
117	Nguyễn Thị Thanh	Kty 4	Chu Kbo	Krong Buk	15/07/2021
118	Nguyễn Thị Tâm	Kty 4	Chu Kbo	Krong Buk	15/07/2021
119	Nguyễn Văn Minh	Kty 4	Chu Kbo	Krong Buk	15/07/2021
120	Nguyễn Đức Lĩnh	Kty 4	Chu Kbo	Krong Buk	15/07/2021
121	Nguyễn Hồng Sơn	Kty 4	Chu Kbo	Krong Buk	15/07/2021
122	Nguyễn Văn Vinh	Kty 4	Chu Kbo	Krong Buk	15/07/2021
123	Phạm Văn Linh	Kty 4	Chu Kbo	Krong Buk	15/07/2021
14. Agrivultural and Forestry Group					
124	Lê Hữu Lương	Kty 5	Chu Kbo	Krong Buk	15/07/2021

No.	Name of Participants	Village	Commune	District	Date of Interview
125	Lê Hữu Thương	Kty 5	Chu Kbo	Krong Buk	15/07/2021
126	Ngô Thị Oanh	Kty 5	Chu Kbo	Krong Buk	15/07/2021
127	Nguyễn Văn Thiện	Kty 5	Chu Kbo	Krong Buk	15/07/2021
128	Nguyễn Văn Kế	Kty 5	Chu Kbo	Krong Buk	15/07/2021
129	Lê Khắc Giới	Kty 5	Chu Kbo	Krong Buk	15/07/2021
130	Nguyễn Văn Chung	Kty 5	Chu Kbo	Krong Buk	15/07/2021
131	Nguyễn Văn Tuấn	Kty 5	Chu Kbo	Krong Buk	15/07/2021
132	Phan Đình Tài	Kty 5	Chu Kbo	Krong Buk	15/07/2021
133	Trần Ngọc Chung	Kty 5	Chu Kbo	Krong Buk	15/07/2021
134	Nguyễn Thị Chỉ	Kty 5	Chu Kbo	Krong Buk	15/07/2021
135	Nguyễn Văn Thảo	Kty 5	Chu Kbo	Krong Buk	15/07/2021

LIST OF KII RESPONDENTS

No.	Full name	Village	Commune	District	Date of interview
1	Hồ Lương Thiên		Cu Pong	Krong Buk	13/07/2021
2	Trần Ngọc Hà		Cu Pong	Krong Buk	13/07/2021
3	Lê Thị Lan		Cu Pong	Krong Buk	13/07/2021
4	H Thoai Knul		Ea Sin	Krong Buk	13/07/2021
5	Trần Văn Ruân		Ea Sin	Krong Buk	13/07/2021
6	Huỳnh Tấn Thanh	Cư Hriết	Cu Pong	Krong Buk	13/07/2021
7	Y Chiên Niê	Ea Bơ	Cu Pong	Krong Buk	13/07/2021
8	Phạm Văn Phi	Ea Siэк	Ea Sin	Krong Buk	14/07/2021
9	Phan Văn Diệп	Ea My	Ea Sin	Krong Buk	14/07/2021
10	Nguyễn Đạt Tình	Ea Kung	Cu Ne	Krong Buk	14/07/2021
11	Nguyễn Văn Duân	Kdro 1	Cu Ne	Krong Buk	14/07/2021
12	Y Thuyên Miô	Drah 2	Cu Ne	Krong Buk	14/07/2021
13	Trần Đình Thọ	Ea Nguoi	Cu Ne	Krong Buk	14/07/2021
14	Y Lem Miô	Kdro 2	Cu Ne	Krong Buk	15/07/2021
15	Nguyễn Văn Phương	Ea My	Ea Sin	Krong Buk	15/07/2021
16	Nguyễn Văn Nhu	Ea Krom	Cu Ne	Krong Buk	15/07/2021
17	Y Đoàn Niê	Drah 1	Cu Ne	Krong Buk	15/07/2021
18	Nguyễn Đình Quang	Kty 4	Chu Kbo	Krong Buk	15/07/2021
19	Trần Ngọc Chung	Kty 5	Chu Kbo	Krong Buk	15/07/2021
20	Nguyễn Văn Sơn	Kmu	Cu Ne	Krong Buk	15/07/2021

LIST OF VULNERABLE HOUSEHOLDS

No.	Households Code	Household Head's Name	Village	Commune	Poor households	Near poor households	Female-headed households	Households with physically disabled people	Households with mentally disabled people	Households with people with chronic disease unable to work	Households with illiterate main labour	Households with elderly over 60 years old headed
1	CN01	Trần Minh Tứ	Kdro 1	Cu Ne								✓
2	CN04	Nguyễn Văn Anh	Kdro 1	Cu Ne				✓				
3	CN05	Hoàng Thị Quý	Kdro 1	Cu Ne			✓					
4	CN09	Nguyễn Văn Lập	Kdro 1	Cu Ne					✓			
5	CN12	Y Ke Ju Mlo	Kdro 1	Cu Ne	✓				✓	✓		
6	CN15	Y Khem Ayun	Kdro 1	Cu Ne		✓						
7	CN18	Y El Niê	Kdro 2	Cu Ne				✓				
8	CN22	Y Glen Knul	Kdro 2	Cu Ne							✓	
9	CN33	Y Sik Niê	Drah 1	Cu Ne								✓
10	CN34	Y Thoai Mlô	Drah 1	Cu Ne	✓							
11	CN38	Y Đương Mlo	Drah 1	Cu Ne				✓				
12	CN44	Y Manh Niê	Drah 2	Cu Ne	✓							
13	CN46	Y Khiêm Niê	Drah 2	Cu Ne				✓				
14	CP01	Ra Lan Peo	Ea Bro	Cu Pong				✓				
15	CP07	Y Truynh Mjao	Ea Bro	Cu Pong		✓						
16	CP08	Y Wang Niê	Ea Bro	Cu Pong		✓						
17	CP09	Y thoanh Mlo	Ea Bro	Cu Pong		✓						
18	CP14	Y Duyên Niê	Ea Bro	Cu Pong	✓			✓			✓	
19	CP17	Y Thinh	Ea Bro	Cu Pong							✓	
20	CP18	Y Néch Adrông	Ea Bro	Cu Pong								✓
21	CP19	Y Per Niê	Ea Bro	Cu Pong	✓							
22	CP23	Y Chôi Adrông	Ea Bro	Cu Pong							✓	✓

No.	Households Code	Household Head's Name	Village	Commune	Poor households	Near poor households	Female-headed households	Households with physically disabled people	Households with mentally disabled people	Households with people with chronic disease unable to work	Households with illiterate main labour	Households with elderly over 60 years old headed
23	CP26	H Liap Niê	Cu Hriet	Cu Pong	✓							
24	CP27	Bùi Văn Nguyên	Cu Hriet	Cu Pong		✓						
25	CP28	Y Sio Ayun	Cu Hriet	Cu Pong							✓	✓
26	CP32	Nay Cao	Cu Hriet	Cu Pong							✓	
27	CP33	Vũ Văn Sơn	Cu Hriet	Cu Pong		✓						
28	CP38	Y Bưng Niê	Ea Bro	Cu Pong		✓						
29	CP41	Ae Sao	Cu Hriet	Cu Pong				✓				
30	CP44	Y Brốc Niê	Cu Hriet	Cu Pong				✓				
31	CP46	Nguyễn Xuân Hòa	Cu Hriet	Cu Pong				✓				
32	ES12	Lê Thị Loan	Ea My	Ea Sin			✓					
33	ES14	Hoàng Văn Bền	Ea My	Ea Sin	✓							
34	ES17	Lưu Văn Bích	Ea My	Ea Sin	✓							
35	ES22	Phạm Hồng Trung	Ea My	Ea Sin					✓			
36	ES25	Võ Hồng Đông	Ea My	Ea Sin		✓						
37	ES26	Ngô Thị Mến	Ea My	Ea Sin			✓					
38	CK01	Nguyễn Văn Vinh	Kty 4	Chu Kbo		✓		✓				
39	CK02	Nguyễn Văn Luân	Kty 4	Chu Kbo		✓						
40	CK09	Nguyễn Đức Lĩnh	Kty 4	Chu Kbo	✓					✓		
41	CK11	Lê Hữu Lương	Kty 5	Chu Kbo								✓

Photos of Household Interviews



Household interview in Cu Hriet village, Cu Pong commune, 13/07/2021



Household interview in Cu Hriet village, Cu Pong commune, 13/07/2021



Household interview in Ea My village, Ea Sin Commune, 13/07/2021



Household interview in Kdro 1 village, Cu Ne commune, 14/07/2021



Household interview in Kdro 2 village, Cu Ne commune, 15/07/2021



Household interview in Kty 5 village, Chu Kbo commune, 14/07/2021

Photos of FGDs



Wage and enterprise-based group, Cu Hriet village, Cu Pong commune, 13 July 2021



Agri-forestry group, Ea My village, Ea Sin commune, 14 July 2021



General group, Kdro 2 village, Cu Ne commune, 15 July 2021



Agri-forestry group, Kty 5 village, Chu Kbo commune, 15 July 2021



Women group, Ea Bro village, Cu Pong commune, 13 July 2021



Ethnic minority group, Cu Hriet village, Cu Pong commune, 13 July 2021



Ethnic minority group, Kdo 1 village, Cu Ne commune, 14 July 2021



Wage and enterprise-based group, Ea Kung village, Cu Ne commune, 14 July 2021



Women group, Drah 2 village, Cu Ne commune, 14 July 2021



Agri-forestry group, Drah 1 village, Cu Ne commune, 15 July 2021



Vulnerable group, Kty 4 village, Chu Kbo commune, 15 July 2021

Photos of KIIs



KII with Chairwoman of Ea Sin commune Women's Union, 13 July 2021



KII with Chairwoman of Cu Pong commune Women's Union, 13 July 2021



KII with Chairman of Cu Pong commune Farmers' Union, 13 July 2021



KII with Ea My village security officer, Ea Sin commune, 14 July 2021



KII with Drah 1 village head, Cu Ne commune, 15 July 2021



KII with Kty 4 village head, Chu Kbo commune, 15 July 2021

APPENDIX E TEMPLATE FOR COMMUNITY GRIEVANCE FORM AND WORKER GRIEVANCE FORM

Community Grievance Form

Date		
Reference Number		
Full Name		
ID Number		
Contact Information	Address	
	Phone	
Content of Grievance or complaint	Classification	
	Significance	
	Description	
	Location	
Consent to disclose the grievance information to third parties	<p>I am aware that this grievance is submitted to the Project; however it may refer to actions of third parties, (for example, contractors of the Project). I understand that in order to efficiently resolve my grievance, the Project will have to contact these third parties so as to examine the facts stated in the grievance and develop a resolution.</p> <p>I hereby agree that the Project can disclose this grievance (as well as additional information related to this grievance) to third parties.</p>	
Signature of complainant		
Received by	Name	
	Signature	
Status of grievance	Investigation	
	Resolution	
	Complainant feedback	
	Close out reporting	

Worker Grievance Form

Date		
Reference Number		
Full Name		
ID Number		
Project Staff/Contractors/Subcontractor (encircle one)	(For staff/contractor: department/unit For subcontractor: name of subcontractor company)	
Contact Information	Address	
	Phone	
Content of Grievance or complaint	Classification	
	Significance	
	Description	
	Location	
Consent to disclose the grievance information to third parties	<p>I am aware that this grievance is submitted to the Project Owner; however it may refer to actions of third parties, (for example, contractors of the Project). I understand that in order to efficiently resolve my grievance, the Project Owner may have to contact these third parties so as to examine the facts stated in the grievance and develop a resolution.</p> <p>I hereby agree that the Project can disclose this grievance (as well as additional information related to this grievance) to third parties.</p>	
Signature of grievant		

Worker Grievance Form

Received by	Name	
	Signature	
Acknowledgement of grievance	Medium (formal letter, verbal in a meeting/ consultation)	
	Date	
	Acknowledged by	
Status of grievance	Investigation	
	Resolution	
	Grievant feedback	
	Close out reporting	

APPENDIX F AIIB PROJECT-AFFECTED PEOPLE'S TIMEFRAME FOR SUBMISSION PROCESSING AND PPM SUBMISSION FORM

INDICATIVE TIMEFRAMES FOR SUBMISSION PROCESSING

Step Number	Steps for Submissions ³²	Trigger for Step	Working Days from Trigger	Rules of Procedure Section
1.1	Requestors may file a submission			
1.2	PPM acknowledges receipt of the submission	Following PPM's receipt of the submission	5	6.4.2(b)
1.3	Requestors may seek confidentiality	Following PPM's acknowledgment of receipt of the submission	10	6.4.3(a)
1.4	PPM may seek additional information	Following PPM's acknowledgment of receipt of the submission	10	6.4.4(a)

Project Processing Query (PPQ):

2.1	PPM screens the submission for eligibility and prepares its eligibility report	Following PPM's acknowledgment of receipt of the submission	10	6.4.5(a), (b); 6.5.3(a)
2.2	PPM sends its eligibility report to Requestors	Following PPM's preparation of the eligibility report	Promptly	6.4.5(b)
2.3	If PPM determines the submission is eligible, PPM registers it, and sends its eligibility report, together with the submission and its acknowledgment of receipt of the submission to the Board and Management	Following PPM's preparation of the eligibility report	5	6.4.5(c)
2.4	PPM discloses the eligible submission, its acknowledgment of receipt of the submission and its eligibility report	Following PPM's circulation of the submission, its acknowledgment and its eligibility report to the Board and Management	10	6.4.5(c)
2.5	Management prepares and provides its response to the submission to PPM and Client	Following receipt of PPM's eligibility report	15	6.5.3(b)
2.6	PPM sends Management's response to Requestors	Following receipt of Management's response	Promptly	6.5.3(b)
2.7	PPM facilitates constructive dialogue between Management, Client, Requestors and other relevant parties	Following receipt of Management's response	Dialogue to be completed before	6.5.3(c)

³² The summaries in the column should be read in conjunction with the fuller provisions in the main text covering each of the processing steps for Project Processing Queries, Dispute Resolution and Compliance Review

Step Number	Steps for Submissions ³²	Trigger for Step	Working Days from Trigger	Rules of Procedure Section
			Financing is approved	
2.8	PPM prepares and discloses a summary of actions taken	Following completion or termination of the PPQ process	10	6.5.3(e)

Dispute Resolution (DR):

3.1	PPM screens the submission for eligibility and prepares its eligibility report	Following PPM's acknowledgment of receipt of the submission	20	6.4.5(a), (b); 6.6.4(a)
3.2	If PPM determines the submission is eligible, PPM registers it, and sends its eligibility report, together with the submission and its acknowledgment of receipt of the submission to the Board and Management	Following PPM's preparation of its eligibility report	5	6.4.5(c)
3.4	PPM discloses the eligible submission, its acknowledgment of receipt of the submission and its eligibility report	Following PPM's circulation of the submission, its acknowledgment and its eligibility report to the Board and Management	10	6.4.5(c)
3.5	Management prepares and provides its response to the eligible submission to PPM and Client	Following receipt of PPM's eligibility report	15	6.6.4(b)
3.6	PPM sends Management's response to Requestors	Following receipt of Management's response	Promptly	6.6.4(b)
3.7	PPM facilitates and documents agreement of the parties on DR approach, methodology, issues and timeline	Following receipt of Management's response	30	6.6.4(c)
3.8	PPM facilitates formulation and signature of DR agreement by the parties	Following documented agreement on DR approach, methodology, issues and timeline	As per agreement on DR approach, methodology, issues and timeline	6.6.4(d)
3.9	If the parties agree to disclose the DR agreement, PPM discloses it. If the parties do not agree to disclose the DR agreement, PPM prepares	Following signing of the DR agreement	10	6.6.4(e)

STAKEHOLDER ENGAGEMENT PLAN, INCLUDING COMMUNITY AND WORKER GRIEVANCE MECHANISMS

Step Number	Steps for Submissions ³²	Trigger for Step	Working Days from Trigger	Rules of Procedure Section
	and discloses a summary of the DR process and outcome			
3.10	PPM monitors and reports to the Board on implementation of the DR Agreement	Following signing of the DR agreement	As per schedule agreed in DR agreement	6.6.4(f)
3.11	PPM discloses its monitoring reports on implementation of the DR agreement	Following circulation of the monitoring report to the Board	10	6.6.4(f)
3.12	PPM may terminate the DR process if a DR agreement is unlikely	Following Management's response	90	6.6.4(g)
3.13	If no DR agreement is reached, PPM prepares and circulates a summary of the DR process and outcome to the Board	Following termination of the DR process	10	6.6.4(i)
3.14	If no DR agreement is reached, PPM discloses its summary of the DR process and outcome	Following circulation of PPM's summary to the Board	10	6.6.4(i)
Compliance Review (CR)				
4.1	PPM screens the submission for general eligibility and prepares its eligibility report	Following PPM's acknowledgment of receipt of the submission	20	6.4.5(a), (b); 6.7.3(a)
4.2	PPM sends its eligibility report to Requestors and Management	Following PPM's preparation of its eligibility report	Promptly	6.4.5(b)
4.3	If PPM determines the submission is eligible, PPM registers it, and sends its eligibility report, together with the submission and its acknowledgment of receipt of the submission to the Board and Management	Following PPM's preparation of its eligibility report	5	6.4.5(c)
4.4	PPM discloses the eligible submission, its acknowledgment of receipt of the submission and its eligibility report	Following PPM's circulation of the submission, its acknowledgment and its eligibility report to the Board and Management	10	6.4.5(c)
4.5	Management prepares and sends its response to PPM	Following receipt of PPM's eligibility report	30	6.7.3(b)
4.6	PPM determines if the submission meets the additional CR eligibility	Following receipt of Management's response	30	6.7.3(c)

STAKEHOLDER ENGAGEMENT PLAN, INCLUDING COMMUNITY AND WORKER GRIEVANCE MECHANISMS

Step Number	Steps for Submissions ³²	Trigger for Step	Working Days from Trigger	Rules of Procedure Section
	criteria and if so, whether to recommend a CR or whether another course of action is appropriate and whether the other course of action requires Board approval			
4.7	If PPM recommends Board approval of CR or of another course of action, it submits its recommendation to the Board; otherwise, PPM submits an information report to the Board and Management	Following PPM's determination	Promptly	6.7.3(d)
4.8	If PPM makes a recommendation to the Board, it informs Requestors of the Board's decision; Management notifies Client of the Board's decision	Following the Board's decision	5	6.7.3(e)
4.9	If PPM makes no recommendation to the Board, it so informs Requestors; Management so informs Client	Following PPM's submission of its information report to the Board	Promptly	6.7.3(e)
4.10	If PPM makes a recommendation to the Board, PPM discloses the Board's decision. If PPM decides not to recommend a CR or another course of action, or decides to pursue a course of action not requiring Board approval, PPM discloses its report to the Board explaining its decision.	Following the Board's decision or submission of the report to the Board.	10	6.7.3(f)
4.11	If the Board approves a CR, PPM prepares draft TOR for the CR and seeks comments from the Policy and Strategy Committee of the Board	Following the Board's decision	15	6.7.3(g)
4.12	PPM submits the final TOR to the Board for information	Following finalization of the TOR	Promptly	6.7.3(g)
4.13	PPM discloses the final TOR	Following submission of the final TOR to the Board	10	6.7.3(g)
4.14	PPM forms a Project-specific Task Force for the CR	Following the Board's approval of the CR	Promptly	6.7.3(h)
4.15	PPM initiates the CR	Following the Board's approval of the CR	30	6.7.3(i)

STAKEHOLDER ENGAGEMENT PLAN, INCLUDING COMMUNITY AND WORKER GRIEVANCE MECHANISMS

Step Number	Steps for Submissions ³²	Trigger for Step	Working Days from Trigger	Rules of Procedure Section
4.16	PPM prepares and circulates its draft CR report to Requestors for comment and to Management for a response	Following PPM's commencement of the CR	60	6.7.3(m)
4.17	Management circulates the draft CR report to Client for comment	Following receipt of PPM's draft CR report	Promptly	6.7.3(m)
4.18	If the CR report concludes with no findings of noncompliance, Client may provide its comments on the draft CR report to Management	Following receipt of PPM's draft CR report	15	6.7.3(n)
4.19	If the CR report concludes with no findings of noncompliance, Management finalizes and provides its response to PPM	Following receipt of the PPM's draft CR report	30	6.7.3(n)
4.20	If the CR report concludes with no findings of noncompliance, Requestors may provide their comments on the draft CR report to PPM	Following receipt of PPM's draft CR report	30	6.7.3(n)
4.21	If PPM determines there was noncompliance, Requestors may provide their comments on the draft CR report to PPM, and Client may provide its comments on the draft CR report to Management	Following receipt of PPM's draft CR report	45	6.7.3(o)
4.22	If PPM determines there was noncompliance, Management updates its response and prepares and circulates a draft MAP to PPM, Client and Requestors for comment	Following receipt of PPM's draft CR report	90	6.7.3(p)
4.23	If PPM determines there was noncompliance, Requestors and PPM may provide their comments on draft MAP to Management	Following circulation of the draft MAP to Requestors and PPM	15	6.7.3(p)
4.24	If PPM determines there was noncompliance, Management updates and sends its response and the MAP to PPM	Following deadline for receipt of comments from Requestors and PPM	30	6.7.3(p)

Step Number	Steps for Submissions ³²	Trigger for Step	Working Days from Trigger	Rules of Procedure Section
4.25	PPM finalizes the CR report, taking into account Management's response (and MAP, if applicable) and sends it to Management	Following receipt of Management's response (and draft MAP if applicable)	15	6.7.3(q)
4.26	If PPM determines there was noncompliance, Management finalizes the MAP to address findings in PPM's final CR report, and sends it to PPM	Following receipt of PPM's final CR report	15	6.7.3(r)
4.27	PPM submits the final CR report, Management's response and final MAP (if applicable) to the Board (the MAP is subject to Board approval)	Following receipt of Management's response (and MAP, if applicable)	Promptly	6.7.3(s)
4.28	If PPM makes no findings of noncompliance, it circulates the final CR report and Management's response to Requestors and to the Board for information; and Management circulates the same to Client.	Following finalization of PPM's CR report	Promptly	6.7.3(t)
4.29	If PPM concludes with no findings of noncompliance, it discloses the final CR report and Management's response	Following circulation of final CR to the Board	10	6.7.3(t)
4.30	If PPM determines there was noncompliance, it circulates the final CR report, together with Management's response and the Board-approved MAP to Requestors; and Management circulates the same to Client	Following the Board's approval of the MAP	10	6.7.3(t)
4.31	If PPM determines there was noncompliance, it discloses the final CR report, together with Management's response and the Board-approved MAP	Following the Board's approval of the MAP	10	6.7.3(t)
4.32	If PPM determines there was noncompliance, Management	Once implementation period of the MAP begins	As per the MAP timelines	6.7.3(u)

STAKEHOLDER ENGAGEMENT PLAN, INCLUDING COMMUNITY AND WORKER GRIEVANCE MECHANISMS

Step Number	Steps for Submissions ³²	Trigger for Step	Working Days from Trigger	Rules of Procedure Section
	monitors and reports to the Board on the MAP			
4.33	If PPM determines there was noncompliance, it reviews Management's MAP monitoring reports and prepares and sends a periodic MAP status report to the Board	Following receipt of Management's MAP monitoring report	At least annually	6.7.3(u)
4.34	PPM finalizes and discloses its MAP status report	Following circulation of the MAP status report to the Board	10	6.7.3 (u)

PPM SUBMISSION FORM

Date: Day____(numeral), Month_____, Year__.

To: Managing Director, CEIU

Postal address:	Managing Director, Complaints-resolution, Evaluation & Integrity Unit
	B-9 Financial St., Xicheng District, Beijing, China 100033
Email address:	ppm@aiib.org
Fax number:	+86-10-8358-0003

We, (insert names) _____

Requestors are filing a submission about the AIIB-financed Project named or known to us as

_____, The Project is located in_____Country_____. We live in the area known as_____
 _____.(If possible, please show on an attached map. A map is attached: **If Yes, tick here** ().

We can be contacted by letter (), e-mail (), telephone (), fax ().

Full postal address:	_____

	Country:_____Postcode:_____.
Telephone number:	_____Area code_____Fax:_____.
Email address:	_____.

We prefer to receive a submission acknowledgement by letter (); by e-mail (); by fax ().We **do not want** our name(s) and information to be disclosed (). This is because:

_____.We authorize__(name) to file this submission on our behalf,
 (signature or other form of identification):

_____.Our letter is a Project processing query (); request for dispute resolution ();
 compliance review (); or we are not sure which of these options to choose ().

We have been or are likely to be harmed by social or environmental impacts of the Project in the way(s) described below. And (if known) we think AIIB violated its Environmental and Social Policy in the following way(s):

For a submission filed by an Authorized Representative: *(Ignore if not relevant).*

I _____(name of person),

if relevant, from_(name of organization)

have been authorized pursuant to the authorization annexed to this letter, to file this submission on behalf of the person(s) named:

I can be contacted by letter (); by e-mail (); by fax (); by telephone (). **If Yes, tick**

Full postal address:	_____

	Country: _____ Postcode: _____.
Telephone number:	_____ Area code _____ Fax: _____.
Email address(es):	_____.

I prefer to receive a submission acknowledgement by letter (); e-mail (); or fax (). I **do not want** my name, organization name or information to be disclosed ().

(Ignore if not relevant).

APPENDIX G GRIEVANCE RECORD TEMPLATE

Grievance Form No	Log Date	Complainant			Grievance				Update Status and Date of Implementation				Remarks
		Name	Address	Phone	Category ^a	Significance ^b	Description	Location	Investigation	Resolution	Complainant Feedback	Status ^c	

Note:

a: land acquisition-related grievance/ construction-related complaint/ other

b: low significance/ high significance for construction-related complaint

c: status could be unsolved, pending, resolved, closed

Grievance Investigation Minutes

Date of investigation			
Reference Number			
Full Name			
Grievance investigation and consultation	Description		
	Proposed Resolution		
Statement to accept the grievance resolution and close out the case	<p>The grievance investigation and consultation undertaken involved the complainant, other affected people, and relevant parties.</p> <p>The following resolution is proposed:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>This record is made with the related parties to demonstrate investigation and consultation have been undertaken.</p>		

Signature

Agreed	Acknowledged	Acknowledged	Acknowledged	Others
_____	_____	_____	_____	_____
(Complainant)	(CLO)	(Related Unit/ Department)	(Related External Parties)	(Name)

APPENDIX H STAKEHOLDER LOG TEMPLATE

STAKEHOLDER LOG

No	Stakeholder	Address	Contact person	Contact details	Engagement activities up to date		Follow-up actions	Responsibility	Deadline	Confirmation of close-out	Note
					Major concerns	Major suggestions					
National Level Authority											
Provincial Level Authority											
District Level Authority											

STAKEHOLDER LOG

Commune Level Authority

Local Communities

Project Partner

International Finance Institutions

STAKEHOLDER LOG

NGOs											
Media											

APPENDIX I CONTACT LISTS OF LOCAL AUTHORITIES AND COMMUNITIES

No.	Name	Ethnicity	Position	Village	Commune	Phone number
Krong Buk District						
1.	Mr. Mỹ	Kinh	District PC President			0913 436 446
2.	Đàm Đình Oánh	Kinh	District Chief of staff			0985 721 207
3.	Mr. Lâm	Kinh	District PC Vice-president			0905 338 241
4.	H Ban	Ede	Head of Ethnic Committee			0973 838 930
5.	Mr. Dũng	Kinh	Ethnic Committee Staff			0917 061 369
6.	Hồ Lương Thiên	Kinh	Chairman of Farmers' Union			0984 956 474
7.	Trần Ngọc Hà	Kinh	Deputy Chairman of Farmers' Union			0982 280 866
8.	Lê Thị Lan	Kinh	Chairwoman of Women's Union			0973 877 601
Ea Sin Commune						
1.	Mr. Cháng	Kinh	Commune PC President		Ea Sin	0262 350 3588
2.	Nguyễn Văn Phương	Kinh	Deputy village head	Ea My	Ea Sin	0396 604 911
3.	Phan Văn Diện	Kinh	Police man		Ea Sin	0394 221 434
4.	H Thoai Knul	Ede	Chairwoman of Women's Union		Ea Sin	0373 194 080
5.	Trần Văn Ruân	Kinh	Chairman of Farmers' Union		Ea Sin	0915 438980
6.	Phạm Văn Phi	Kinh	Village head	Ea Siék	Ea Sin	

No.	Name	Ethnicity	Position	Village	Commune	Phone number
Cu Ne Commune						
1.	Mr. Phương	Kinh	Commune PC Staff		Cư Né	0974 909 866
2.	Trần Đình Thọ	Kinh	Village head	Ea Nguoi	Cư Né	0985 209 819
3.	Phạm Văn Phi	Kinh	Village head	Ea Siék	Cư Né	0987 365 355
4.	Nguyễn Văn Hoàn	Kinh	Village head	6	Cư Né	0982 345 430
5.	Y Đoan Nie	Ede	Village head	Drah 1	Cư Né	0362 248 199
6.	Y Thuyên Mlô	Ede	Village head	Drah 2	Cư Né	0384 695 505
7.	Nguyễn Văn Nhu	Kinh	Village head	Ea Krôm	Cư Né	0986 365 684
8.	Nguyễn Văn Duân	Kinh	Village vice-head	Kđô 1	Cư Né	0918 303 153 / 0986 649 095
9.	Y Lem Mlô	Ede	Village head	Kđô 2	Cư Né	0376 991 162
10	Nguyễn Văn Sơn	Kinh	Village head	Kmu	Cư Né	0335 292 963
11	Nguyễn Đạt Tình	Kinh	Village head	Ea Cung	Cư Né	0348 060 072 / 0818 574 627
Chư Kbô Commune						
1.	Mr. Huệ	Kinh	Commune PC President		Chư Kbô	0262 3502 779
2.	Nguyễn Đình Quang	Kinh	Village head	Kty 4	Chư Kbô	0975 586 933
3.	Trần Ngọc Chung	Kinh	Village head	Kty 5	Chư Kbô	0336 484 352

No.	Name	Ethnicity	Position	Village	Commune	Phone number
4.	Mr. Lam	Kinh	Village head	Kty 3	Chư Kbô	0984 300 420

Cư Pong Commune

1.	Trần Thành	Kinh	Commune PC President			0983 423 330
2.	Hồ Lương Thiên	Kinh	Commune People's Council			0984 956 474
3.	Hồ Văn Lâm	Kinh	Statistic Staff			0974 909 866
4.	Hoàng Thị Bích Hạ	Kinh	Cadastral Staff			0972 539 906
5.	Huỳnh Tấn Thanh	Kinh	Village head	Cư Hriết	Cư Pong	0399 073 104
6.	Y Chiên Niê	Ede	Village vice-head	Ea Bơ	Cư Pong	0344 452 398
7.	Y Săn A Đơng	Ede	Village head	Ea Bơ	Cư Pong	0389 997 028

APPENDIX J LIST OF EXISTING NON-GOVERNMENT ORGANISATIONS IN DAK LAK PROVINCE

No	Non-governmental organisation	Nationality	Project/ Activity	Field	Filed Detail	Implementation Area	Local Partner	Duration
A. ASSISTANCES MANAGED BY PROVINCIAL AUTHORITY								
1	ActionAid International	International	Social organisation promoting improvement of reproductive health care services for ethnic minority women and youth	Health	Reproductive Health	Dang Kang, Hoa Phong and Khue Ngoc Dien communes, Krong Bong district	People's Committee of Krong Bong district	12/2017 - 12/2021
2	Save the Children	England	Maternal and newborn health care for ethnic minority communities in Dak Lak	Health	Social health care	Lak and Krong Bong districts	DOH	6/2017 - 4/2021
3	Centre for Tropical Medicine - Oxford University Clinical Research Unit (OUCRU-VN)	England	Capacity building and community health improvement in Dak Lak province for the period 2018-2020	Health	Social health care	Districts, towns and cities in the province	Preventive Medicine Center - DOH	5/2018 - 6/2021
4	World Wildlife Fund	Switzerland	Efforts to conserve Vietnam's largest wild elephant population in Dak Lak province	Natural resources and Environment	Wildlife conservation	Don village , Ea Sup commune, Ea H'leo District	DONRE	11/2018 - 9/2021
5	Esperance	Switzerland	Financial support to build house for Ms. H' Buk Bdap, Cuah A village, Yang réh commune, Krong Bong district	Others	Emergency response	Cuah A village, Yang réh commune, Krong Bong district	Hanoi Association of Vietnam - Japan province	3 - 4/2021
6	Animals Asia Foundation	Hongkong China	Conservation of Vietnamese elephants in Dak Lak province in the period of 2019 - 2021	Natural resources and Environment	Wildlife conservation	Elephant Conservation Center - DARD	DARD	5/2019 - 12/2021

No	Non-governmental organisation	Nationality	Project/ Activity	Field	Filed Detail	Implementation Area	Local Partner	Duration
7	VN Smile Organization	Australia	For children's smiles	Health	Social health care	Schools, centers, and institutions raising orphans and disabled children in the province	DOLISA	2019 - 2021
8	Stiching IDH Sustainable Trade Initiative	Holland	Program on Production that combines resource conservation and social security in Krong Nang district	Natural resources and Environment	Integrated rural development	Ea Tan commune, Ea Toh, Dlieya, Krong Nang district	People's Committee of Krong Nang District, Global Coffee Platform (Switzerland)	9/2019 - 01/2021
9	Family Health International 360	USA	Building and awarding the title of "Excellent Breastfeeding Practice Hospital"	Health	Social health care	General Hospital of the Central Highlands and General Hospital of Cu M'gar . District	DOH	10/2019 - 11/2021
10	Population Service International	ÚA	Strengthening the capacity of the private health sector to manage and monitor malaria cases in malaria elimination in Vietnam	Health	Disease prevention	Districts, towns and cities in the province	DOH	2016-2021
11	Children Action	Switzerland	Support and supplement nutrition for children at Hoa Thuy Tien Kindergarten, Krong Nang district	Health	Nutrition	Hoa Thuy Tien Kindergarten, Krong Nang District	DOLISA	2020 - 2021
12	Costa Foundation	England	Complete construction and investment in teaching and learning equipment for Ea	Education and training	Building educational infrastructure	Ea H'ding Kindergarten, Cu M'gar District	People's Committee of Cu M'gar. District	3 - 12/2021

No	Non-governmental organisation	Nationality	Project/ Activity	Field	Filed Detail	Implementation Area	Local Partner	Duration
			H'ding Kindergarten, CuMgar district					
13	Health Poverty Action	England	Malaria prevention for mobile people in the period of 2021 - 2023	Health	Disease prevention	06 communes in 04 districts including: Kbang commune and Ia Jloi commune, Ea Sup district; Krong Na commune, Buon Don district; Ea Dah commune, Krong Nang district; Ea So commune and Ea Sar commune, Ea Kar . district	DOH, Provincial Tuberculosis and Lung Disease Hospital	5/2021 - 12/2023
14	Jeollabuk-do Center for International Affairs	Korea	Capacity building for midwives and community health workers to operate maternal and child health in Dak Lak province	Health	Health education and training	06 districts including: Buon Don, Ea Sup, M'Drak, Lak, Krong Bong, Krong Nang.	DOH, Provincial Center for Disease Control	

B. ASSISTANCES MANAGED BY CENTRAL AGENCIES

1	Animals Asia Foundation	Hong Kong China	Transforming tourism model using domestic elephants in Yok Don National Park, Dak Lak province	Natural Resources and Environment	Wildlife conservation	Yok Don National Park	Yok Don National Park	7/2018 - 7/2023
2	Vysnova Partners	USA	Rapid diagnostic test for malaria in Vietnam	Health	Social health care	Ea Kar commune, Krong Nang district	National Institute of Malaria - Parasitology - Entomology	End of 2019 - 2024

No	Non-governmental organisation	Nationality	Project/ Activity	Field	Filed Detail	Implementation Area	Local Partner	Duration
3	United Nations Environment Program	United Nation	Women use renewable energy to enhance climate resilience and livelihoods activities	Natural resources and environment	Climate Change	Dak Lak, An Giang province	GreenID (local NGO)	3/2020 - 3/2021
4	Stichting Oxfam Novib	Holland	Protecting freshwater resources and ecosystems on the Srepok River	Natural resources and environment	Environmental protection	Don village, Lak, Krong Ana communes, Ea Soup district	Thua Thien Hue Center for Social Research and Development	2020 - 2021
5	Vysnova Partners	USA	Malaria surveillance in symptomatic and asymptomatic people in Dak Lak province, Vietnam in the Roadmap to Elimination of Malaria	Health	Social health care	Ea Kar commune, Krong Nang district	Institute of Malaria - Parasites - Insects Quy Nhon	3/2020 - 3/2021
6	Save the Children	England	Capacity building and promotion of child protection practices in coffee production	Solving social problems	Social Support	Buon Ho, Cu Mgar, Krong Nang districts	CRD Center (Hue), DOLISA	02/2021 - 9/2023
7	United Nations Office for Program Services	United Nation	Strengthening community participation in malaria elimination in Vietnam	Health	Social health care	Dak Lak, Binh Phuoc, Gia Lai, Dak Nong, Phu Yen, Binh Thuan provinces.	Center for Community Development Initiatives (local NGO)	4/2021 - 12/2023
8	United Nations Office for Program Services	United Nation	Strengthening the participation of the private health sector in malaria prevention, control and elimination in Vietnam	Health	-	149 communes in 04 provinces of Dak Lak, Gia Lai, Dak Nong, Binh Phuoc	Public Health Association	2021 – 2023.

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No	Non-governmental organisation	Nationality	Project/ Activity	Field	Filed Detail	Implementation Area	Local Partner	Duration
9	Global Health Advocacy Incubator trực thuộc Campaign For Tobacco-Free Kids	USA	Support the implementation of effective and sustainable interventions to prevent and combat child drowning in Vietnam in the period of 2020 - 2021	Solving social problems	Social health care	Dak Lak, Lao Cai, Yen Bai, Hanoi, Nam Dinh, Ninh Binh, Thanh Hoa, Nghe An, Quang Binh, Dong Thap, Soc Trang, Long An provinces	Department of Children; DOLISA	4 - 12/2021

Source: Document provided by DOFA during ESIA development, July 2021.

ERM has over 160 offices across the following countries and territories worldwide

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India	South Korea
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Ireland	Sweden
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New Zealand	

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