



Dien Xanh Gia Lai Investment Energy
Joint Stock Company

Stakeholder Engagement Plan

Ia Pech and Ia Pech 2 Wind Power Plant
Projects, Gia Lai province, Vietnam

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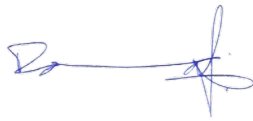
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Stakeholder Engagement Plan

Ia Pech and Ia Pech 2 Wind Power Plant Projects, Gia Lai province,
Vietnam



Paola Romero
Partner in Charge

ERM Vietnam

3rd Floor, Saigon Finance Centre
09 Dinh Tien Hoang, Dakao Ward
District 1, Ho Chi Minh City
Vietnam

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Acronyms and Abbreviations

AIIB	Asian Infrastructure Investment Bank
EHS	Environmental, Health and Safety
EP	Equator Principles
EPC	Engineering, Procurement and Construction
ESMP	Environmental and Social Management Plan
ESMPF	Environmental and Social Management Planning Framework
FPICon	Free, Prior and Informed Consultation
IFC	International Finance Corporation
IP	Indigenous People
IPPF	Indigenous People Planning Framework
JSC	Joint Stock Company
O&M	Operation and Maintenance
RPF	Resettlement Planning Framework
SEP	Stakeholder Engagement Plan
WB	World Bank

1. INTRODUCTION

1.1 Overview

This Stakeholder Engagement Plan (SEP) is developed for Ia Pech and Ia Pech 2 Wind Power Plant Projects (hereinafter referred to as “the Project”). The Project will be constructed and operated by Dien Xanh Gia Lai Investment Energy Joint Stock Company (hereinafter referred to as “the Project Owner” or “Dien Xanh Gia Lai JSC”).

At the moment, the Asian Infrastructure Investment Bank (AIIB) is one of the financial sponsors for these Projects. Thus, in addition to compliance with local regulations, the Project is seeking to be aligned with the AIIB Environmental and Social Framework¹, International Finance Corporation Performance Standards² (IFC PS), World Bank Group Environmental, Health and Safety (WB EHS) Guidelines³, and the Equator Principles IV⁴ (EP IV). National and international applicable requirements and standards are listed and analysed in Section 2. In general, these international standards require the Project Owner to conduct meaningful consultation with affected people and other concerned stakeholders in a manner commensurate with the Project’s impacts.

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

In addition to enhancing stakeholder engagement throughout the life cycle of the Project, particularly prior to and during the construction and operations, in line with national laws and international best practices. This SEP also provides guidance for a technical and culturally appropriate approach to community engagement and disclosure of Project information.

Furthermore, it describes the way in which the Project Owner will handle any Project-related concerns or grievances. Hence, a grievance mechanism is included to serve as open channels for the Project Owner to effectively communicate with stakeholders, handling community concerns, and reducing risks. An effective stakeholder engagement strategy and grievance mechanism will assist the Project in promoting productive relationships and building community acceptance for a “social license” to operate in the region.

In this version of the SEP, the stakeholder mapping and engagement undertaken during the Environmental and Social Impact Assessment (ESIA) stage was recorded. It serves as an initial guide to future engagement and will need to be updated periodically to ensure ongoing stakeholder engagement through various stages of the Project’s life cycle.

1.2 Objectives

The objectives of stakeholder engagement are to:

- Identify all the interested and affected parties (IAPs) of the Project;
- Deliver accurately the Project information to IAPs;
- Identify the interests, concerns and needs of IAPs;

¹ Environmental and Social Framework of Asian Infrastructure Investment Bank is available at: [AIIB ESF](#), accessed on 4 July 2021

² Performance Standards of International Finance Corporation are available at: [IFC PS](#), accessed on 4 July 2021

³ Environmental, Health and Safety Guidelines of World Bank are available at: [WB EHS Guidelines](#), accessed on 4 July 2021

⁴ Equator Principles are available at: [EP IV](#), accessed on 4 July 2021

- Seek input from IAPs in the project planning process;
- Manage IAPs' expectations;
- Provide feedback to IAPs on how their concerns and needs addressed in the ESIA process;
- Form partnership to promote constructive interaction amongst all parties; and
- Fulfil national and international requirements relevant to consultation.

1.3 Project Background

The Gia Lai Wind power project of the Gia Lai Investment Energy JSC CPIH composes two separate wind power projects, which are known as Ia Pech and Ia Pech 2 wind power projects.

According to Letter No. 128/KTHT dated 8 November 2020, the People's Committee of Gia Lai Province has permitted Gia Lai Investment Energy JSC CPIH to develop the CPIH Gia Lai Wind Power Project at Ia Pech Commune, Ia Grai District, Gia Lai Province. The project has been approved to develop renewable energy for Gia Lai province in general and specially for Ia Grai district. Gia Lai investment Energy JSC CPIH is expected to construct the project with a capacity of 50MW, including 20 turbines with the capacity of 2.5 MW. The area of the project is expected to be 1,455 ha within Ia Pech commune, Ia Grai district; operations are scheduled to commence in October 2021.

According to Circular No 16/2015/TT-BKHDT dated 18 November 2015, the Ministry of Planning and Investment has permitted Gia Lai Investment Energy JSC CPIH to develop Ia Pech 2 Wind Power Project. The project is located within Ia Pech commune, Ia Grai District, Gia Lai Province. The project is designed to have a total capacity of 50MW, including 20 turbines with an individual capacity of 2.5MW. This project is expected to produce electricity for approximately 143 million kWh annually.

During the implementation of the Project, the designs of both Ia Pech and Ia Pech 2 wind power projects have been changed, which reduced the number of turbines to 30 in total instead of the initial 40. According to the information provided by the Client, the estimated electricity capacity produced annually would still remain close to the initial estimation.

In accordance with Decree No. 40/2019/ND – CP on Amendments to Decrees on Guidelines for the Law on Environment Protection of the Government dated 19 December 2019, JSC CIPH Gia Lai does not need to develop an Environmental Protection Plan (EPP). However, the development of the Gia Lai Wind Power project in Ia Pech commune has to be fully compliant with the local technical and social infrastructure, building density, height and underground depth and ensuring the project implementation must not affect the national defense and securities.

The project location and its key components are illustrated in Figure 1.1.

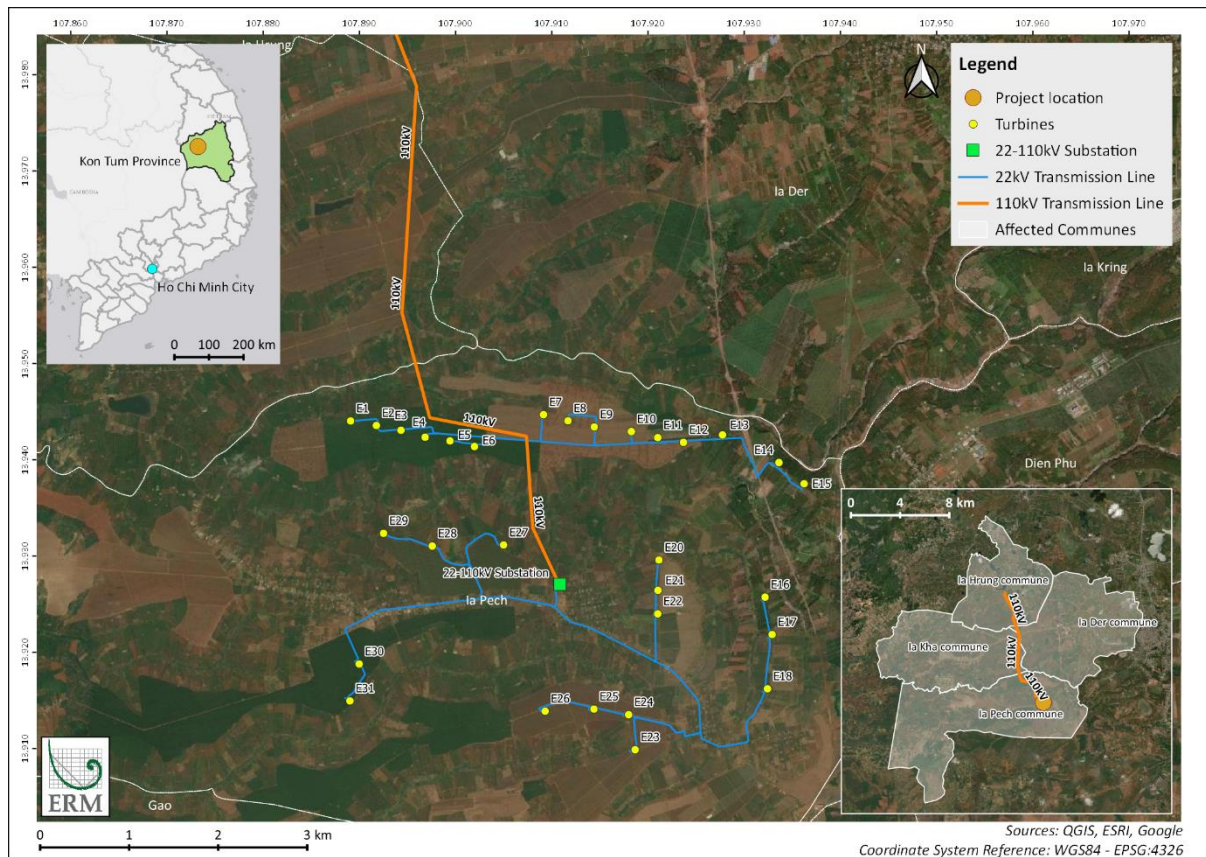


Figure 1.1 Project location and key components

1.4 Applicability

This Stakeholder Engagement Plan is developed for the current Project's design and capacity and is designed to facilitate Informed Consultation and Participation (ICP), including Indigenous Peoples (IPs) located within the project area. The plan outlines the project provisions with regards to engaging with the community and also receiving feedback during the project's life cycle.

According to EP4, once human rights impact assessment is in place, it is important to recognise and engage the full range of relevant stakeholders, including consideration of their different roles and responsibilities. Stakeholder engagement is also critical in impact assessment and has been consequently included as the key cross-cutting theme. Following sections will provide guidance on rights-holders engagement throughout the impact assessment process to ensure that they can meaningfully involve in the process and decisions that affecting their lives; as well as other stakeholders who have duties and responsibilities on human rights of workers and communities.

An effective stakeholder engagement process, that proactively providing access to information on a regular basis and obtaining stakeholder concerns and feedback, may help the Project avoid grievances arising in the first place. However, projects with high potential of environmental and social impacts, or high profile impacts, often result in grievances occurring from stakeholders. Therefore, a Community Grievance Mechanism (CGM) needs to be developed to identify, document, solve, and monitor project related grievances. A community grievance mechanism should be in place from the beginning of the social and environmental assessment process and maintained throughout the project life cycle. As with the broader process of stakeholder engagement, the Project Owner should keep informed and involved in the grievance mechanism so that decisive actions can be applied appropriately to avoid escalation of disputes. To assist grievances incorporated into project decision-making and key messages accurately conveyed, all community grievances will be recorded in the issues/grievances log as a means to protect transparency of any action taken relating to a grievance.

Additionally, a Worker Grievance Mechanism (WGM) is developed to assist the Project Owner in resolving and managing grievances raised by workers during the construction and operation phase of the Project. It is the instruction for the workers once they have any grievances or concerns relating to the Project. Since the WGM is designed for construction and operation phase of the Project, it is applied to the Project Owner, EPC contractor, subcontractors, and all employees working for the Project.

1.5 Structure of the Report

This report includes the following sections:

- Section 1 – Introduction;
- Section 2 – Criteria and Performance Requirements;
- Section 3 – Stakeholder Analysis;
- Section 4 – Indigenous Peoples;
- Section 5 – Engagement Requirements;
- Section 6 – Stakeholder Engagement To Date;
- Section 7 – Grievance Mechanisms;
- Section 8 – Future Engagement;
- Section 9 – Human Resources and Responsibilities;
- Section 10 – Budget; and
- Section 11 – Monitoring and Reporting.

1.6 Limitations

Due to the prolonged travel restrictions imposed by the Vietnamese Government to manage the COVID-19 pandemic, conventional methodologies of conducting social baseline and stakeholder engagement had to be adjusted to ensure reporting timelines met the Project schedule. These adjustments included replacing baseline surveys that are typically undertaken in situ by the use of remote techniques, including phone interview for key informant interview and household survey, using local partners to facilitate the FGDs, and data collected from local authorities via official letters. Also due to not receiving the approval from local authorities of Ia Kha, La Der and La Hrung communes, the baseline survey was only conducted in Ia Pech commune which is the most relevant commune linked to the project, as it is where all the wind turbines are located as well as part of the transmission route. This resulted in a narrower sample area and/or less diversity in sampling that one can usually obtain when using traditional sampling methods on field.

2. CRITERIA AND PERFORMANCE REQUIREMENTS

The SEP is a component of the Environmental and Social Management Plan (ESMP) that will guide the Project's implementation through the construction, operation and decommission phases. Vietnamese regulations require public consultation to be conducted at the Environmental Impact Assessment (EIA) stage, whilst the AIIB ESF (2019), IFC PS (2012) and the Equator Principles IV (2020) highlight the need for ongoing and appropriate communication and information disclosure between the developer and stakeholders through all stages of a project's life cycle.

Based on the results of the screening and scoping study, together with socio-economic baseline surveys for this Project, and in reference to internationally recognised standards including AIIB Environmental and Social Framework, Equator Principle IV and IFC Project categorization, Ia Pech and Ia Pech 2 Wind Power Plant Projects could be classified as Category A projects. This classification is reported in Section 5 of the ESIA report. Category A projects are defined by AIIB framework as projects that likely to have significant adverse environmental and social impacts that are irreversible, cumulative, diverse, and unprecedented. These impacts may affect an area larger than the sites or facilities subject to physical works and may be temporary or permanent in nature. Therefore, the following sections discuss the Vietnamese regulations, AIIB Environmental and Social Framework, Equator Principles IV, and IFC Performance Standards in relation to stakeholder engagement and grievance management specified for a Category A projects.

2.1 Vietnam Regulations

2.1.1 Stakeholder Engagement

- The Law on Environmental Protection⁵ No. 55/2014/QH13 issued on 23 June 2014 and effective since 01 January 2015 stipulates that consultation is required in the process of EIA. However, regarding project preparing an environmental protection plan, consultation is not required.
- According to Directive No. 2567/STNMT-QHDD and Directive No. 2563/STNMT-QHDD issued by Gia Lai Department of Natural Resources and Environment, the Project doesn't need to develop EIA and EPP. Hence, the regulations related to EIA and EPP will not be included in this SEP.

2.1.2 Grievance Mechanism

- The Law on Grievance No. 02/2011/QH13 issued by the National Assembly on 11 November 2011 and effective since 1 July 2012 provides the framework for raising the grievances, the grievances redress mechanism as well as management and supervision grievance redress process. In general, raising the grievances and grievance redress must comply with the law, ensure objectiveness, publicity, democracy, and timeliness.
- Decree No. 124/2020/ND-CP issued on 19 October 2020 and effective since 10 December 2020 stipulates certain articles and implementation of the Law on Grievance.
- Circular No. 07/2014/TT-TTCT issued by the Government Inspectorate on 31 October 2014 and effective since 15 December 2014 prescribes the process of receiving, categorization, investigation and resolving community grievances
- The Law on Administrative Procedures No. 93/2015/QH13 issued by the National Assembly on 25 November 2015 and effective since 1 July 2016 prescribes:
 - Fundamental principles in administrative procedures;
 - Tasks, powers, and responsibilities of procedure-conducting agencies and persons;

⁵ The Law on Environmental Protection No. 55/2014/QH13 will expire and be replaced with the Law on Environmental Protection No. 72/2020/QH14 from 1 January 2022.

- Rights and obligations of procedure participants and related agencies, organisations and individuals; and
 - Order and procedures for instituting lawsuits, settling administrative cases, executing administrative judgments and settling complaints and denunciations in administrative procedures.
- The Civil Procedure Code No. 92/2015/QH13 issued by the National Assembly on 25 November 2015 and effective since 1 July 2016, provides the basic principles in civil proceedings. It also contains the order and procedures for initiating lawsuits at the People's Court to settle civil cases such as marriage and family, business, trade, and labour including grievances on environmental pollution between individuals and organisations.

2.2 AIIB Requirements on Stakeholder Engagement and Grievance Mechanism

2.2.1 Consultation and Information Disclosure

AIIB believes that transparency and meaningful consultation is essential for the design and implementation of a Project, so that they expect to cooperate closely with the Project Owner to achieve this objective. Hence, the Project Owner is requested to engage in meaningful consultation with stakeholders during the Project's preparation and implementation phases, in a manner commensurate with the risks to, and impacts on, those affected by the Project. Additionally, consultation is required for each Category A and Category B Project, proportional to its risks and impacts. A meaningful consultation process is described in Figure 2.1.

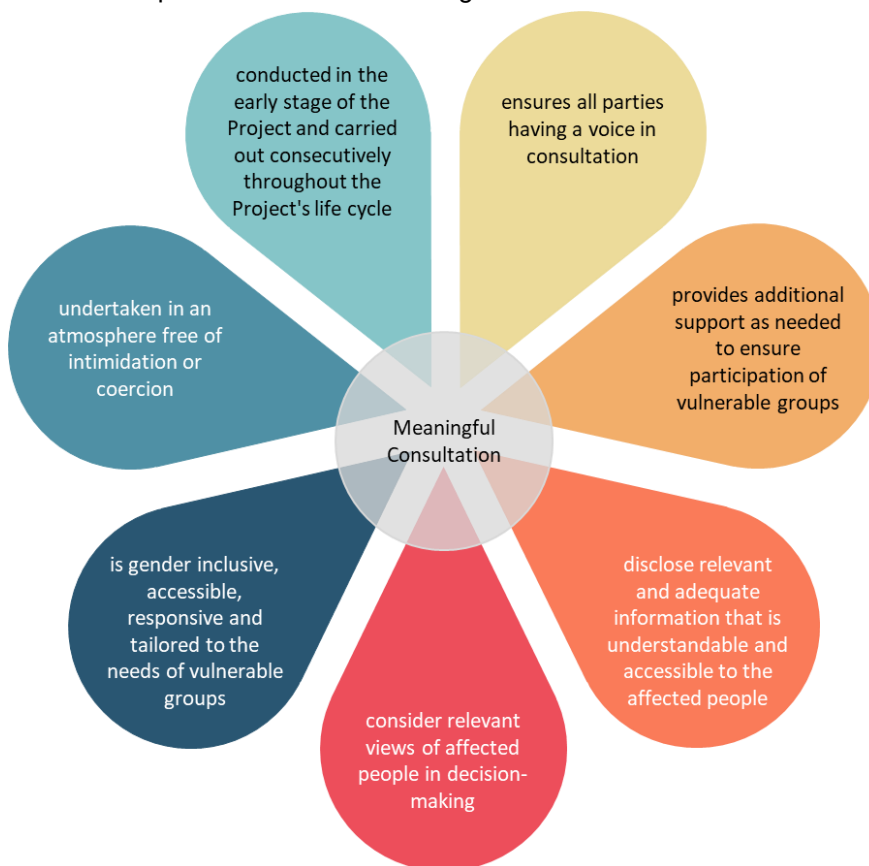


Figure 2.1 Meaningful consultation process

In consultation activities, AIIB may participate to understand the concerns of the affected people and to ensure that the Project Owner addresses such concerns in the Project's design and ESMP or ESMPF (as applicable). A record of the consultation and list of participants are required to be included in the environmental and social assessment documentation.

Since Indigenous Peoples may be particularly vulnerable to the loss of, alienation from, or exploitation of their land and limited access to natural and cultural resources, AIIB ask the Project Owner to engage in FPIC with the affected Indigenous Peoples 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 land and natural resources subject to traditional ownership or under customary occupation or use; or
- have significant impacts on Indigenous Peoples' cultural heritage.

Meaningful inputs obtained from affected people, other stakeholders and general public are necessary for the design and implementation of the Project. Thus, AIB propose the Project Owner to make relevant information about environment and social risks and impacts of the Project in a timely and accessible manner, and in a form and language(s) which are understandable. These documentation includes the following:

- Draft, final or updated environmental and social assessment reports, ESMPs, ESMPFs, resettlement plans, RPFs, Indigenous Peoples plans and IPPFs; or
- Other approved forms of documentation.

AIB's Board of Director approved the Policy on Public Information (PPI) on 27 Sep 2018 as the embodiment of commitment on promoting transparency in their operations. It defines what kind of information they are required to disclose, and when it should be disclosed.

The PPI is based on three principles (see Table 2.1) that equally govern AIB's practice of disclosing information⁶:

Table 2.1 Principles govern AIB's practice of disclosing information

Principle 1: Presumption in Favour of Disclosure	Principle 2: Duty of Proactive Disclosure	Principle 3: Non-Discrimination and Equal Treatment of Disclosure Requests
We will remain transparent and open by communicating information we hold, unless that information is an exception specified in the policy.	We will fulfill our public disclosure requirements by proactively releasing information on our own initiative.	We will not discriminate or give special access when considering requests for information disclosure.

Therefore, AIB requires the Project Owner to disclose regularly updated environmental and social information together with any material changes to the disclosed documents as soon as they become available.

AIB may defer the disclosure of the information because of: (a) legal or other regulatory requirements such as timing requirements relating to securities offerings, equity investments in publicly listed companies or purchases of shares in a private placement; or (b) the commercially sensitive nature of the transaction involving (e.g. an acquisition or a financial restructuring, where premature disclosure would compromise the financial worth or competitiveness of a corporate entity or its assets). The prerogative to defer disclosure shall be exercised by AIB's management, and the deferrals so approved by management shall be reported to the Board of Directors.

2.2.2 Grievance Mechanism

To receive and facilitate resolutions of the concerns from people who believe they have been adversely affected by the Project's environmental and social impacts, the Project Owner is required to establish a suitable grievance mechanism. It may utilize existing formal or informal grievance mechanisms and should use an understandable and transparent process that is gender sensitive, culturally appropriate and readily accessible to all affected people.

Recognizing the important role played by workers and their representatives in the development process and their contribution to sustainable economic growth, AIB believes that giving workers the access to grievance mechanisms is one of measures contribute to the quality of the Project. It is noted that an accessible and understandable grievance mechanism for workers will: (i) not impede access to other judicial or administrative remedies that might be available under law or through existing arbitration or

⁶ For purposes of the PPI, information means all information held by AIB that can be read and communicated physically and electronically in any form or format.

mediation procedures, or substitute for grievance mechanisms provided through workers unions or collective agreements; (ii) involve 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.

2.2.3 Indigenous Peoples

AIB requires the Project Owner to carry out a meaningful consultation about 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 Owner 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.

AIB also requires the Project Owner 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 AIB to be suitable for the Project; these may be supplemented, as need, 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 Information Disclosure.

2.3 Equator Principles Requirements Relevant to Stakeholder Engagement and Grievance Mechanism

From the EPFIs' perspective, the Equator Principles IV 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".

2.3.1 Stakeholder Engagement

As stated in Principle 5, for Projects with potentially significant adverse impacts on Affected Communities, the Project Owner is requested to conduct an Informed Consultation and Participation process – defined as an in-depth exchange of views and information and an organised and iterative consultation that leads the Project Owner to incorporate the views of Affected Communities into their decision-making process.

The Project Owner need to tailor 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. Additionally, this process should be free from external manipulation, interference, coercion and intimidation.

To facilitate Stakeholder Engagement, the Project Owner should:

- commensurate to the Project's risks and impacts; and
- 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

Furthermore, the Project Owner is required to take account of, and document, the results of the Stakeholder Engagement process, including any actions agreed resulting from such process. Disclose of environmental or social risks and adverse impacts should be available early in the Assessment process, in any event before the Project construction commences, and on an ongoing basis.

2.3.2 Grievance Mechanism

The Equator Principles IV also have specific requirements in relation to grievance mechanisms as follows:

- For all Category A and, as appropriate, Category B Projects, the EPFI require the Project Owner, 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 process⁷.

⁷ Additional guidance for the effectiveness criteria for grievance mechanisms can be found in the UNGPs, Principles 29 and 31 and related Commentary is available at: https://www.ohchr.org/documents/publications/guidingprinciplesbusinessshr_en.pdf, accessed on 10 July 2021

2.4 IFC Performance Standards on Stakeholder Engagement and Grievance Mechanism

The IFC Performance Standards (2012) that have been considered in developing this SEP include Performance Standards (PS) 1, 2, 4, 5, and 7 and in respect of their guidance regarding participation. Performance Standard 7 is referred to this SEP due to the presence of ethnic minority (Gia Rai group) who is identified as Indigenous People within the Project's footprint. See section 5 – ESIA Screening and Scoping of the ESIA report for the Indigenous Peoples screening and identification.

2.4.1 Public Consultation, Disclosure and Participation

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

- The range of stakeholders should be identified;
- Project information (i.e. the purpose, nature, and scale of the Project; the duration of proposed project activities; any risks to and potential impacts on such communities and relevant mitigation measures; the envisaged stakeholder engagement process; and the grievance mechanism) should be disclosed to affected communities and other stakeholders in order to gain their understanding of the project's risks, impacts, and opportunities;
- When affected communities are subject to identified risks and adverse impacts from the project, a process of Informed Consultation and Participation should be undertaken in a manner that allows them to express their views on project risks, impacts and mitigation measures, and allows the Project Owner to consider and respond to them;
- If the stakeholder engagement depends substantially on community representatives, the Project Owner is requested to make every reasonable effort to verify that such persons do in fact represent the views of the Affected Communities; and
- Project disclosure, informed consultation and participation processes should be documented.

According to IFC PS 4, 5 where project activities pose risks or adverse impacts on the health and safety of affected communities, the Project Owner is required to make available relevant information (including the details of an Action Plan), in an appropriate form, to gain understanding from the affected parties and government authorities. Besides, it is necessary to conduct extensive consultation and negotiation parties affected by land acquisition and involuntary resettlement.

As required by IFC PS 7, if a project involves with the Affected Communities of Indigenous Peoples, Informed Consultation and Participation (ICP) and Free Prior Informed Consent (FPIC) should be applied 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.

Based on the section 5 – ESIA Screening and Scoping of the ESIA report, the Project Owner is required to establish and maintain an ongoing relationship based on Informed Consultation and Participation (ICP) with the IP affected by a project throughout the project's life-cycle.

2.4.2 Grievance Mechanism

To receive and facilitate the resolution of an affected communities' concerns and grievances regarding the Project's environmental and social performance, IFC PS1 requires the Project Owner to establish a culturally and language appropriate and gender inclusive Grievance Mechanism that should be disclosed and clearly explained to the affected communities from the early stage of the stakeholder engagement process. 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,

Regarding concerns about compensation and resettlement that are raised by displaced persons or members of host communities, IFC PS5 requires the Project Owner to establish a grievance mechanism including a recourse mechanism and consistent with the IFC PS1 to resolve matters and disputes impartially.

To assist workers in raising concerns in workplace, IFC PS2 encourages the Project Owner to provide a worker's grievance mechanism that:

- be informed to the workers at the time of recruitment and easily accessible;
- involve an appropriate level of management and address concerns promptly;
- use an understandable and transparent process that provides timely feedback to those concerned without any retribution;
- allow for anonymous complaints to be raised and addressed; and
- 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.

2.5 Other International Regulations

- 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

3.1 Stakeholder Identification

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:

- Individuals, groups or organisations potentially have interest on or affected by impacts⁸ of Project's activities during its life cycle; and
- Vulnerable groups⁹ requiring special engagement efforts.

3.2 Stakeholder Categorisation

Stakeholders are categorised into following groups:

- **Local communities** includes communities living within or surrounding the Project area. These communities may be affected by or potentially have interest on the Project's impacts;
- **Government and local government bodies** includes government agencies involved in appraisal and approval during the project's development. In addition, the units participating in the consultation are also considered as a stakeholder of the project;
- **Economically Interested Parties and Business Partners** includes individuals or organizations that have financial influence and are involved in the decision-making process of the project;
- **Contractors and suppliers** includes individuals or organizations employed by the Project Owner to provide services and products;
- **Neighbour Private Sector Bodies** includes neighbouring private projects in the same commune or district as the Project. This group is considered as a stakeholder not only because of the potential contribution to cumulative impacts, but also because they are taken into account as a community that may have concerns related to Project activities;
- **Academic Groups** includes individuals or organisations that will participate in project reviews or consultation during the project development;
- **Non-Governmental Organisations (NGOs):** including non-governmental organisations that might be interested in the project development and its potential impacts. They may be representative and accountable NGOs as well as community-based organisations who have expertise valuable to effective stakeholder engagement. For example, they can be sources of local knowledge, sounding boards for project design and mitigation measures, links helping the Project Owner to connect with sensitive groups, and partners in planning, implementing and monitoring various project-related programs;

⁸ Refer to Chapter 10, 11, 12, and 13 of ESIA report

⁹ Vulnerable 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 getting chronic diseases and unable to work;
- Households with a single parent under the disadvantaged household category and raising children under the age of 16 or children aged 16-18 and attending school; and
- Households with an illiterate breadwinner.

- **Media** includes media that have reported on the Project or likely have an interest on Project's activities in future.

3.3 Stakeholder Mapping

After stakeholders had been identified and grouped, concerns related to the Project also integrated. These concerns including:

- **Environmental** – regarding the alteration of current environmental baseline conditions such as emissions and local air quality, elevated noise/disturbance levels, water shortage, damage to and depletion of ecological systems, ecosystem services, generation and disposal of waste, impacts on the aesthetic value of the environment and changes in resources availability;
- **Health and Safety** – about community health and safety, labour safety, right of way, blade throw, visual amenity and shadow flicker impacts;
- **Social** – about land acquisition, livelihoods, employment of temporary/local/foreign workforce, agricultural activities, migrants, religious sensitivity, gender equality, indigenous peoples, utility requirements, infrastructure requirements, and supply of materials; and
- **Technical** – related to feasibility, project design, transmission line route, emergency preparedness and response, knowledge sharing, and project management.

To define stakeholder relationships, vulnerability, interest in and influence on Project activities, stakeholders were assessed and mapped. 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.

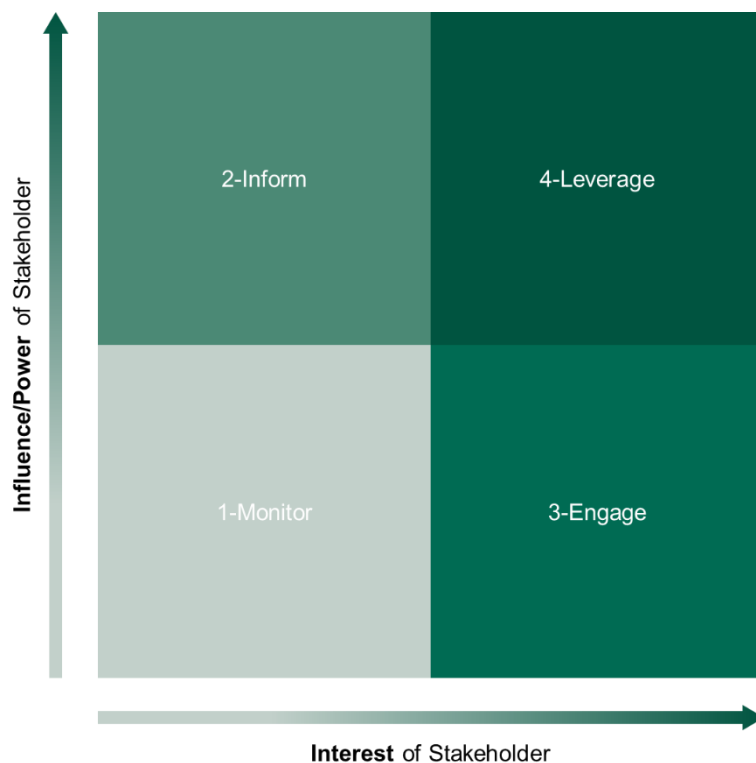


Figure 3.1 Stakeholder Mapping Matrix

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

Levels of influence and interest of each stakeholder based on the mapping matrix are illustrated in Figure 3.1. They can be summarised as follows:

1. **Monitor:** low influence and low interest. Typically, these stakeholders include 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. These stakeholders are also important and include those that are not adversely affected, but whose interests determine them as stakeholders. As such, these stakeholders should be kept engaged and the Project Owner should maintain an open channel of communications with them throughout Project phases.
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 Project's impacts. 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 identification and categorisation are summarised in Table 3.1. This table will have to be updated during the Project's life cycle depending on Stakeholder Mapping Matrix via timelines.

Table 3.1 Stakeholder Analysis (at the time of reporting)

Categories	Stakeholders	Concerns				Influence	Interest	Level of Influence and Interest
		Environmental	Health & Safety	Social	Technical			
Local communities	Vulnerable group - People under vulnerable condition potentially receives more significant impacts from the Project activities (e.g. land acquisition, agriculture disturbance) than the others	x	x	x	x	High	High	4-Leverage
	Economically displaced communities due to the Project land acquisition in: <ul style="list-style-type: none"> ■ Nang Long – Osor, O Gia, and Sát Tâu village of la Pech commune for the turbine area, transmission line, access road and substation ■ Other communes including la Hrung, la Kha and la Der for transmission line 	x	x	x	x	High	High	
	Communities in la Pech, la Hrung, la Kha and la Der communes who living nearby the Project’s components (turbine, transmission line, access road and substation) and may be affected by the other Project activities	x	x	x	x	High	High	
Government and local government bodies	Vietnam National Authorities							
	Ministry of Industry and Trade	x	x	x	x	High	Low	2-Inform
	China Embassy		x	x		Low	Low	1-Monitor
	Gia Lai Provincial Authorities							
	Gia Lai Province People’s Committee (PPC)	x	x	x	x	High	High	4-Leverage

Categories	Stakeholders	Concerns				Influence	Interest	Level of Influence and Interest
		Environmental	Health & Safety	Social	Technical			
	Department of Natural Resources and Environment (DoNRE)	x	x	x	x	High	High	
	Department of Labour, Invalid and Social Affairs (DoLISA)		x	x		High	High	
	Department of Construction (DoC)	x	x	x	x	Low	Low	3-Engage
	Department of Operations		x	x	x	High	Low	2-Inform
	Department of Industry and Trade (DoIT)	x		x	x	High	Low	
	Department of Transport		x	x	x	High	Low	
	Department of Planning and Investment (DoPI)	x	x	x	x	High	Low	
	Department of Agriculture and Rural Development (DARD)	x		x	x	High	Low	
	Department of Finance (DoF)	x	x	x	x	Low	Low	
	Department of Health (DoH)	x	x	x		Low	Low	
	Committee for Ethnic Minority Affairs ¹⁰ (CEMA)			x		Low	Low	
	District Authorities							

¹⁰ There are 18 ethnic minorities in la Grai district and surrounding Project area including J Rai (accounting for 45.28%), Tay, Thai, Hoa, Kho-me, Muong, Nung, H Mong, Dao, E-de, Ba-na, Xo-dang, Cham, San Diu, Hre, Xtieng, Bru-Van Kieu and Tho

Categories	Stakeholders	Concerns				Influence	Interest	Level of Influence and Interest	
		Environmental	Health & Safety	Social	Technical				
Economically Interested Parties and Business Partners	la Grai District People's Committee (DPC) including divisions within the DPC	x	x	x	x	High	High	4-Leverage	
	Fatherland Front Committee of la Grai district	x	x	x	x	High	High		
	Land Fund Development Center of la Grai district			x	x	High	High		
	Committee for Ethnic Minority Affairs at district level			x		High	High		
	Communal Authorities								
	la Pech commune People's Committee	x	x	x	x	High	High	4-Leverage	
	la Hrung, la Kha and la Der communes People's Committee	x	x	x	x	High	High		
	Fatherland Front Committee of la Pech, la Hrung, la Kha and la Der communes	x	x	x	x	High	High		
	Community Unions (i.e., Farmers' Union, Women's Union, Youth Union)	x	x	x		Low	High	3-Engage	
	Central Power Corporation (EVNCPC)				x	High	High	4-Leverage	
National Load Dispatch Center (EVNNLDC)				x	High	High			
Electricity Power Trading Company (EVNEPTC)				x	High	High			
Potential Shareholders	x	x	x	x	High	High			

Categories	Stakeholders	Concerns				Influence	Interest	Level of Influence and Interest
		Environmental	Health & Safety	Social	Technical			
	Asian Infrastructure Investment Bank	x	x	x	x	High	High	
	Development Bank of Singapore (DBS Bank)	x	x	x	x	High	High	
	Vietnam Electricity (EVN)				x	Low	High	3-Engage
Contractors/consultant and suppliers	Vinteg Company	x	x	x	x	High	High	4-Leverage
	Power Engineering Consulting Joint Stock Company 1 (PECC1)	x	x	x	x	High	High	
	Golden Sea Surveying Technology Co., Ltd	x			x	Low	High	3-Engage
	Thanh Dat Power Construction Designing Consulting Co., Ltd	x	x		x	Low	High	
	Vietnam Power Resource Partners Corporation (Vietnam PRP)	x	x	x	x	Low	High	
	Power Engineering Consulting Joint Stock Company 5 (PECC5)	x	x	x	x	Low	High	
	Power Construction Corporation of China	x	x		x	Low	High	
	Black and Veatch Singapore Pte. Ltd	x	x		x	Low	High	
	China Energy Engineering Group Anhui No.1 Electric Power Construction Co. Ltd	x	x		x	Low	High	
	Zhejiang Windey Co., Ltd				x	Low	High	

Categories	Stakeholders	Concerns				Influence	Interest	Level of Influence and Interest
		Environmental	Health & Safety	Social	Technical			
	Other EPC and O&M contractors and suppliers ¹¹	x	x		x	Low	High	
Neighbour Private Sector Bodies	Other neighbouring business (e.g. factories, wind power plants, hydropower plants, solar power plants, etc.) ¹²	-	-	-	-	-	-	-
Non-Governmental Organisations (NGOs) ¹³	Other NGOs that might be interested in the project development and its potential impacts (e.g CEEVN, WSPA) ¹⁴	-	-	-	-	-	-	-
Media	National media (e.g. nongnghiep, nhadautu, tapchicongthuong, baotainguyenmoitruong, tuoitre, thanhnien, phapluat newspapers)	x	x	x	x	High	Low	2-Inform
	Provincial media (e.g. baogialai newspaper)	x	x	x	x	High	Low	

3.4 Stakeholder Engagement Strategy

Based on the results of stakeholder analysis, the stakeholder engagement process will be structured and implemented based on the level of influence and interest as illustrated in Figure 3.2.

¹¹ Not identified during the ESIA reporting

¹² Not identified during the ESIA reporting

¹³ They are may be representative and accountable NGOs and community-based organisations who have expertise valuable to effective stakeholder engagement. For example, they can be sources of local knowledge, sounding boards for project design and mitigation measures, links helping the project owner to connect with sensitive groups, and partners in planning, implementing and monitoring various project-related programs

¹⁴ List some of the existing NGOs in Gia Lai province is presented in Appendix A

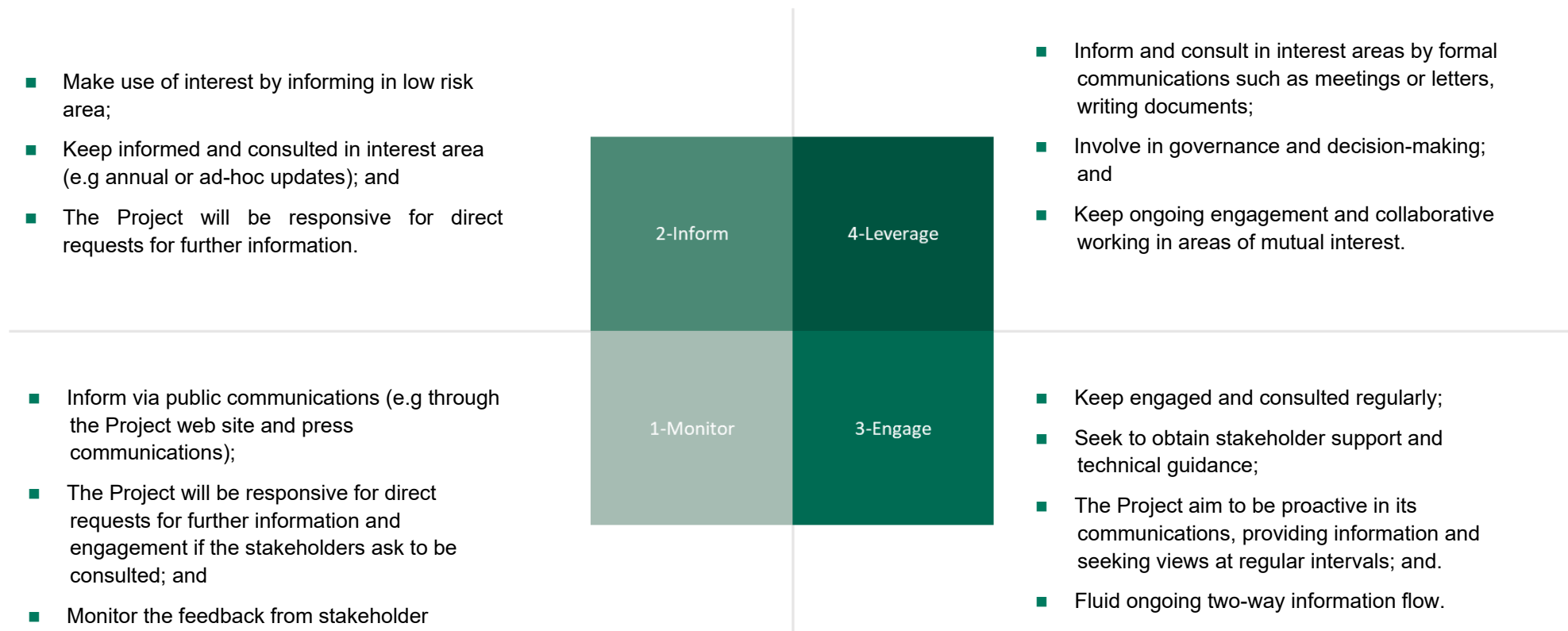


Figure 3.2 Stakeholder Engagement Strategies

4. ENGAGEMENT WITH INDIGENOUS PEOPLES

4.1 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. The following sections reveal 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.

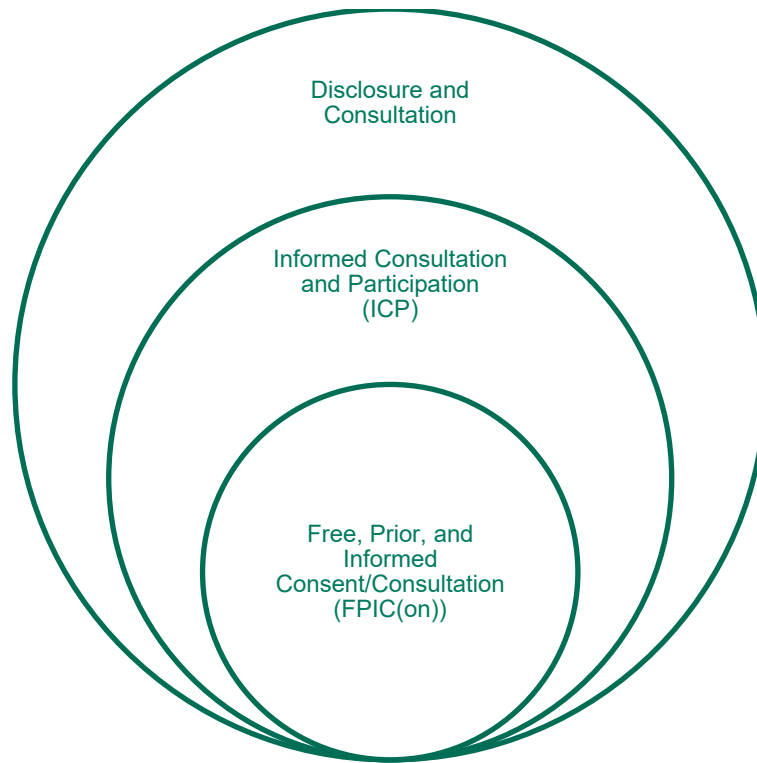
For projects with adverse impacts to Indigenous Peoples¹⁵ as the defined term following AIIB ESS3, the Project Owner is required to engage them in a process of ICP.

Lastly, as 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 Consultation, and that the Project Owner is required to apply FPICon as defined in those laws, in the manner required by the Bank, levels of stakeholder engagement are illustrated in Figure 4.1. To define if the FPICon is required for this Project or not, an applicability analysis is detailed in Section 4.2.2.

¹⁵ AIIB ESS3 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.



Source: AIIB ESS3 and IFC PS7

Figure 4.1 AIIB ESS3 and IFC PS7 Stakeholder Engagement Spectrum

4.2 Indigenous Peoples Engagement in the Project area

4.2.1 Indigenous Peoples Screening

Based on the definition of IP according to AIIB ESS3 in section 4.1 and IP screening in section 5 of ESIA, it is concluded that the Gia Rai located in the Project' area fulfil all four characteristics of IPs. Therefore, Gia Rai are considered as Indigenous Peoples and therefore, the AIIB ESS3 is recommended to be applicable to this Project. Being said that, below a brief evaluation of the applicability of the FPICon process for this project, in addition to Informed Consultation and Participation (ICP) which will be the principle for the engagement throughout the Project lifecycle.

4.2.2 FPICon Applicability Assessment

In addition to the general requirements of AIIB ESS3, project proponents are required to obtain FPICon of the affected communities of IPs in circumstances described in paragraphs 60-61 of ESS3 that is applicable to project design, implementation, and expected outcomes related to impacts affecting the communities of IPs. FPICon¹⁶ 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.

According to the information available for review and the social situation of the project at the time of this assessment, FPICon is not applicable to the Project. The relevance of these special circumstances is assessed in Table 4.1.

Table 4.1 FPICon Identification

Circumstance	Observations	Applicability
Impact on lands and natural resources subject to traditional ownership or under customary use	Initial findings from discussion with local authorities revealed that the livelihoods of Gia Rai people highly rely on their private land. There is no physical displacement and the impacts is on individual households who belong to the Gia Rai ethnic minority. It is unlikely that the Project will affect any land/ natural resources that are under customary use of Gia Rai community in the affected communes.	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. There is no physical displacement due to land acquisition for the Project.	Not Applicable
Significant impact on critical cultural heritage	Based on current levels of project information, no significant impacts on Gia Rai critical cultural heritage are anticipated. There is no Gia Rai critical cultural heritage located within the Project areas.	Not Applicable
Commercial use of cultural heritage	The project will not make commercial use of Gia Rai cultural heritage or traditional knowledge and practices.	Not Applicable

Source: ERM Socio-economic baseline survey, August 2021

¹⁶ It is noted that the criteria to identify if FPICon is applicable is similar to the one of FPIC

4.3 Informed Consultation and Participation (ICP) Guidance 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.”¹⁷ Depending 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 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 Gia Rai IP out of affected people, village leaders in affected communes and focused groups discussion including Gia Rai ethnic minorities’ representatives.

Future engagement and consultation with local communities of the Project (see Section 7) 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.

¹⁷ International Finance Corporation. May 2007. Stakeholder Engagement: A Good Practise Handbook for Companies Doing Business in Emerging Markets

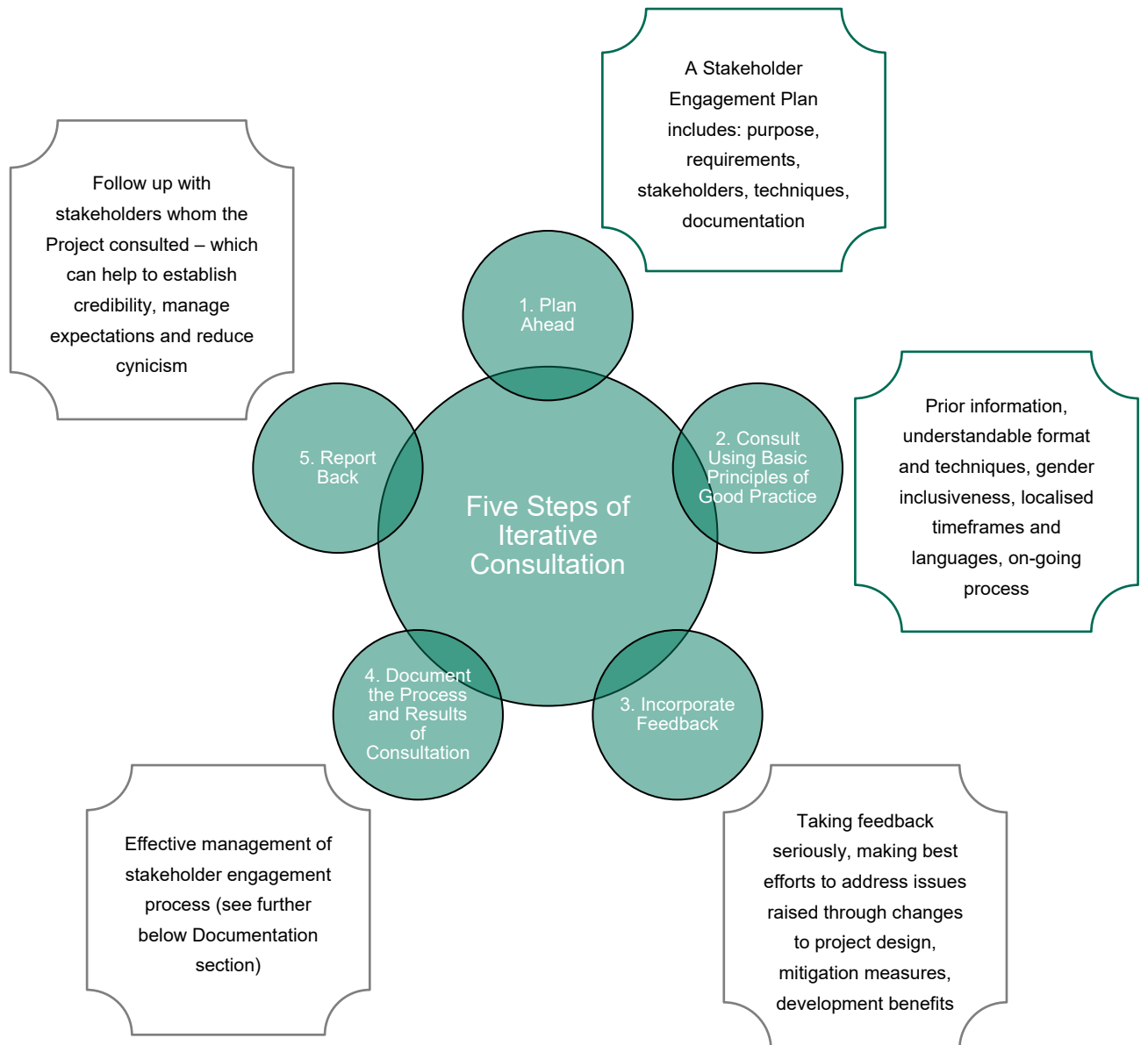
- Project's engagements with local communities need to ensure the recruitment of participants from diverse backgrounds and viewpoints;
- Involving Indigenous Peoples' representative bodies and organizations (e.g. councils of elders or village councils), as well as members of the Affected Communities 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;
- Town hall meeting
- Semi-structured interviews;
- Role play;
- Poverty and vulnerability mapping;
- Local institutional analysis.

In certain situations, capacity building may be need 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 (as illustrated in Figure 4.2) should be followed to ensure iterative consultation.



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

Figure 4.2 Five Steps of Iterative Consultation

Grievance mechanism for IPs should be established culturally appropriate and gender inclusive 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).

5. STAKEHOLDER ENGAGEMENT TO DATE

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 Stakeholder Engagements by Geographical Location and Approach

Level of Administration			Number of Engagements			
District	Commune	Village	Interviews with local authorities	KIIs	FGDs	Household Interviews
Ia Grai			1	-	-	-
	Ia Pech		1	1	-	-
		Nang Long - Osor	-	2	3	41
		O Gia	-	1	-	7
		Sát Tâu	-	1	1	15
Total			2	5	4	63

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

5.1 Engagement with Local Authorities during Scoping Site Visit

In May 2021, the Project Owner and the Project's Consultant - ERM Vietnam Company Limited (ERM), have conducted meetings with regulatory bodies from the district and commune levels during scoping site visit. Table 5.2 summarizes topics discussed in the engagement of the Project Owner, ERM and authorities. Figure 5.1 including photos taken from meetings with authorities.

Table 5.2 Authorities Engagement during Scoping Site Visit

Regulatory body	Organizations	Meeting Date	Topics discussed in the meetings
District level	la Grai District People's Committee (DPC) including: <ul style="list-style-type: none"> ■ Ethnic Minority Committee ■ Division of Natural Resources and Environment; and ■ Land Acquisition and Compensation Council 	26 th 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 such as infrastructure and public services, health, livelihoods, and employment of people in the district ; ■ Acquire their initiatives on the proposed Social Management Plan; and ■ Collect feedbacks including concerns and recommendations about the Project development.
Commune Level	la Pech commune People's Committee (CPC)	27 th 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 such as infrastructure and public services, health, livelihoods, and employment of people in the commune ; ■ Acquire their initiatives on the proposed Social Management Plan; and ■ Collect feedbacks including concerns and recommendations about the Project development.



Meeting with Ia Grai District People's Committee on 26th May 2021



Meeting with Ia Pech Commune People's Committee on 27th May 2021

Figure 5.1 Photos Taken in Meetings with Authorities by ERM personnel

5.1.1 Engagement with Local Communities

As stated above, the Project Owner and ERM arranged multiple engagement activities at the local community level from 29th to 31st August 2021 to collect the updated socio-economic baseline data and local communities' opinions and concerns on the development of the Project. Intending to achieve objective information, the consultations were in the form of focus group discussions (FGD), key informant interviews, and household surveys as discussed below.

5.1.1.1 Focus Group Discussions

Focus group discussion is applied to observe a process of interaction among a group of members having similar livelihood profiles, gender, etc. with the purpose of obtaining their orally expressed views, opinions, experiences, and attitudes towards many issues raised during the conversation. Data collected depends on type of groups as follows:

- For group having the same livelihood profiles, data obtained will give an insight on their livelihoods, customs, culture, dependence on natural resources, accessibility to public services and opinions or concerns about the Project; and
- Regarding the discussions conducted for women, ethnic minority, and vulnerable people group, separately, deeper understanding about their role, /equality as well as governmental special supporting policies for them were achieved.

A total of 24 people participated in four FGDs in Ia Pech commune of Ia Grai district. Table 5.3 described the number of participants together with topics discussed. Due to baseline survey conducted remotely, there no photos were taken during the focus group discussions.

Table 5.3 Summary of Participants Attended in FGDs

Ia Pech Commune	Group	No. of participants			Ethnicity		Topics covered in focus group discussions
		Male	Female	Total	Kinh	Gia Rai	
Nang Long O Sor	Women group	-	6	6	-	6	Each group will have different question design, in general, the following information was collected: <ul style="list-style-type: none"> ■ Livelihoods; ■ Education background (i.e. education level of members in the surveyed households); ■ Health status/profile and health care practice; ■ Income and expenditures; ■ Potential impact due to the Project construction and operation activities; ■ Access to and availability of public facilities (i.e. electricity, water supply, etc.); ■ Acknowledge on the development of the Project and its engagement activities; and ■ Concerns as well as recommendations for the Project development.
	Ethnic minority group	5	-	5	-	5	
	Vulnerable people group	1	6	7	-	7	
Sat Tau	Agri-forestry group	6	-	6	4	2	
Total		12	12	-	4	20	

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

It can be seen from Table 5.3 that the proportion of male equal to this statistics of female with 50%. Each discussion involved a heterogeneous group of five to seven people with distinctive backgrounds in terms of age, gender, and economic as well as social status in order to obtain an inclusive perspective and objective reporting.

5.1.1.2 Key Informant Interviews

Key Informant Interview is conducted with people who have important roles in society such as hamlet chiefs, quarter heads, medical station heads, etc. or representatives for people potentially affected by the Project to obtain information related to livelihood, culture, health, accessibility to infrastructure as well as social order situation. In addition, this engagement also aims to get opinions about the role of genders, the status of ethnic minorities, and vulnerable people in the local community.

Five people have been involved in 5 key informant interviews in Ia Pech commune of Ia Grai district. The number of participants together with topics discussed are presented in Table 5.4. Due to the interviews were conducted via phone, no photos were taken.

Table 5.4 Summary of Key Informant Interviews

Level of Administration	Key Informant	Total No. of participants	Topics covered in key informant interviews
Ia Pech commune	Deputy chairwoman of Ia Pech Commune People's Committee	1	<p>Each group will have different question design, in general, the following information was collected:</p> <ul style="list-style-type: none"> ■ Health status/profile and health care practice; ■ Livelihoods; ■ Income and expenditures; ■ Potential impact due to the Project construction and operation activities; ■ Access to and availability of public facilities (i.e. electricity, water supply, etc.); and ■ Acknowledge on the development of the Project and its engagement activities; and ■ Workers rights and child labor status; ■ Concerns as well as recommendations for the Project development.
Nang Long O Sor	Party cell secretary	1	
	Influential individual in ethnic minority village	1	
Sat Tau	Village head	1	
O Gia	Former village head	1	
Total		5	

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

5.1.1.3 Household Surveys

Household surveys provided a wider range of more detailed information on the population of 63 households in la Pech commune, la Grai district where the Project components are located, and/or its potential impact on local communities. It is noted that there are 23 households affected by land acquisition for the Project. Hence, 23 affected households have been involved in the surveys.

Primary data from the 63 household surveys (including 23 AHs) were used to integrate the socio-economic baseline and stakeholder engagement section of the ESIA report.

Topics of engagement from household surveys are summarised in Table 5.5. Due to baseline survey conducted remotely, there are no photos taken for the household surveys.

Table 5.5 Summary of Household Surveys

Ia Pech Commune	No. of household surveys	No. of surveyed household's population (people)			Topics covered in household surveys
		Male	Female	Total	
Nang Long O Sor	41	102	88	190	<p>The questionnaire of the household interview was designed to collect the following:</p> <ul style="list-style-type: none"> ■ Family status and demographics; ■ Education background (i.e. education level of members in the surveyed households); ■ Occupation, livelihood, and status; ■ Health profile of household members being interviewed; ■ Economic conditions (i.e. condition of household assets and utilities, income and expenditure [seasonal income is also accounted for]); ■ Current condition of local public services and infrastructure including road, electricity and water supply, waste management, market, education and healthcare, as well as the household's access to such services; ■ Vulnerability status (i.e. people who may be more adversely affected by the Project by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, or social status); and ■ Acknowledge, concerns and recommendations about the Project's activities.
Sat Tau	7	17	18	35	
O Gia	15	32	33	65	
Total	63	151	139	290	

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

5.1.1.4 Perceptions of Local Communities

It can be seen from the household surveys that 98% of the respondents were aware of the Project. Of which, nearly half of them discerned the Project less than six months ago, while 35% told that they have known about the Project for six to twelve months. The Project has been acknowledged by other 16% of the surveyed households for more than one year ago.

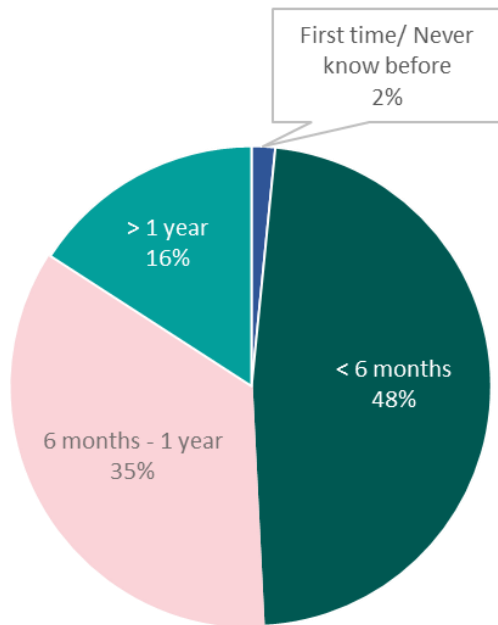


Figure 5.2 Awareness of Local Communities about the Project

The two information channels for the surveyed people to be aware of the Project are via word-of-mouth from their relatives, friends and neighbours with 46.7%, and followed by official information from the Project staff with 40.3%. Meanwhile, about one-fourth of interviewees recognised the Project by observing the Project construction activities occur in the locality, and around 10% get the news from local authorities. It is noted that one people could be informed about the Project presence from more than one channel of information.



Figure 5.3 Channels for Receiving the Project Information

When the respondents were asked if they know about the grievance mechanism of the Project, a 70% of the interviewees mentioned they were not aware of this mechanism, while the 30% remaining confirmed that they have heard about it before.

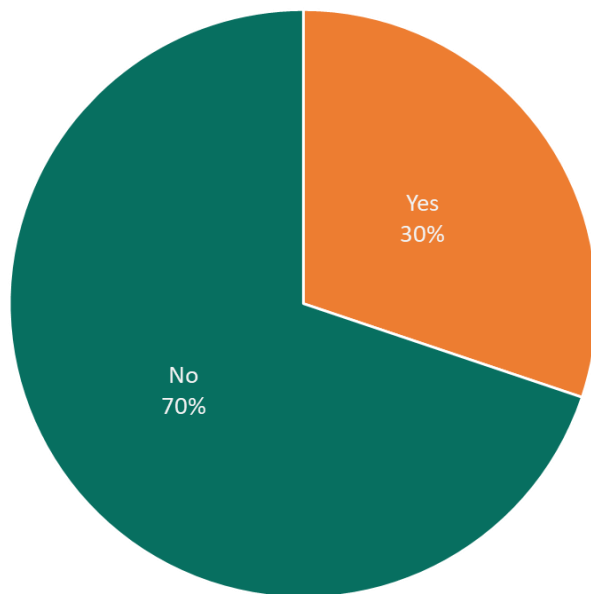


Figure 5.4 Acknowledgement of Local Communities on the Project's grievance Mechanism

5.1.1.5 Consultations of the Project

Of 63 surveyed respondents, only seven people or 11.1% participated in the public consultation. On the other hand, most of the respondents (76% or 48 households) reported they would have wanted to attend the consultation but they did not hear about it, while a small number heard about the consultation but could not attend (3.2%) or did not want to attend (3.2%), and 4.7% did not know and did not wish to participate in the consultation either.

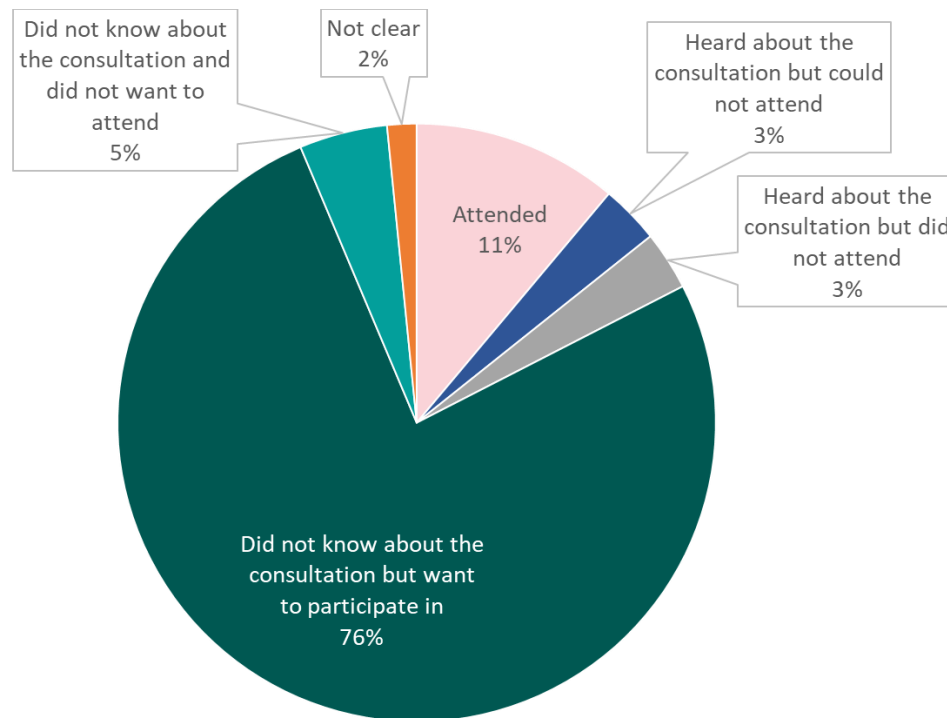


Figure 5.5 Participation in Public Consultations

Among seven people participating in the consultation, 72% finding the information about the Project insufficient and expecting more information to be provided. The two remaining groups share 14% each, responded that (1) the information sufficient and they are happy to receive more if any, and (2) do not want more information although they think they do not have enough information about the Project.

The additional information that the respondent expected to receive, includes the following:

- what happens to the village/commune when the project starts;
- project impacts on the environment;
- project impacts on community health;
- mitigation measures for negative impact; and
- project implementation time;

Additionally, extra information is supposed to be provided via public consultation, face to face meeting and local authorities. The following figures (Figure 5.6 and Figure 5.7) indicate the statistics related to information and channels providing data of the Project in details.

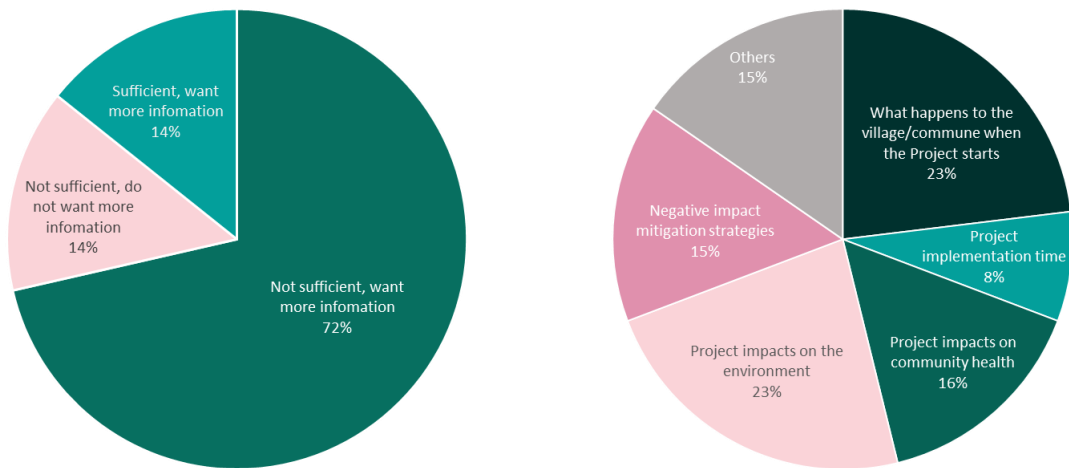


Figure 5.6 Information about the Project

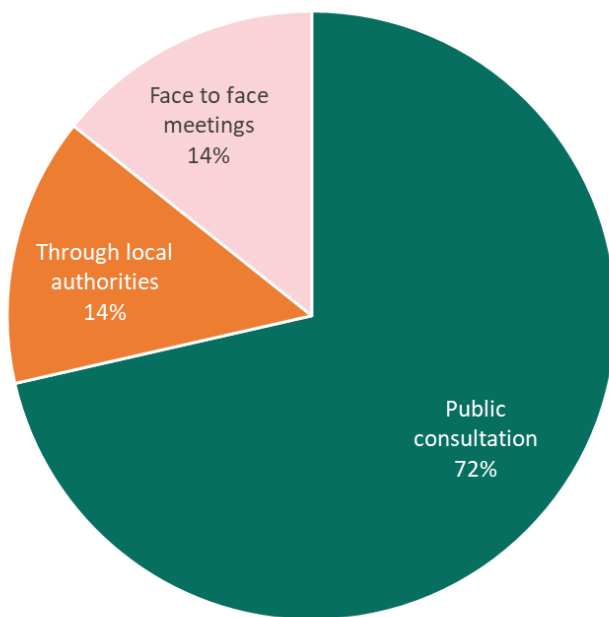


Figure 5.7 Provision of Information

5.1.2 Feedback from the Interviewed Authorities and Communities

During engagement conducted with authorities and communities, relevant feedbacks including concerns as well as recommendations were collected. This feedbacks are described in the following section.

5.1.2.1 Authorities

No.	Feedbacks obtained from organizations	Criteria			
		Environmental	Health & Safety	Social	Technical
Ia Grai District People's Committee					
1	The Project is recommended to ensure 300m safety zone for residential area		x	x	x
Ia Pech commune People's Committee					
1	There are complaints arising from local communities about noise generated by machine and car speed		x	x	
2	The PC mentioned that local people raised concerns about turbine No. 18 because it is located nearby their houses and its location is under negotiation with Ministry of Industry and Trade				x
3	The Project Owner is requested to recruit local people for project in construction and operation process.			x	
4	It can be seen that intra-communal road will be affected during construction phase, the Project Owner needs to maintain them whenever construction phase end		x	x	x
5	The Project Owner should support community development (such as constructing house of gratitude, communal house, etc.)			x	

5.1.2.2 Local Communities

No.	Feedbacks obtained from group discussions	Criteria			
		Environmental	Health & Safety	Social	Technical
Focus Group Discussion					
1	Women have concerns about the Project implementation including environment pollution, noise pollution, traffic safety to children who go schooling every day, and road degradation		x	x	x
2	Local people are concerned about large circulation of big trucks in the local roads and threats to safety due to the construction of high wind turbines		x	x	x
3	They are concerned about risks to local safety, traffic accidents due to large circulation of big trucks, and negative impacts to crop production		x	x	
4	Their main concerns include threat to social security due to the influx of workers and risks to air and noise pollution during the Project construction and operation process		x	x	
5	A public consultation should be organised with local villagers' participation to communicate the Project information and address local concerns, for example, compensation to the households affected by transmission lines.			x	
6	The Project Owner needs to support local road and school facilities improvements (e.g. school yards, tables and chairs, teaching and learning equipment)			x	
7	The Project Owner is expected to bring more employment opportunities for the local communities surrounding the project.			x	
8	The Project Owner is requested to complete compensation before the commencement of the Project construction			x	
Key Informant Interviews					
1	Land acquisition (e.g production land loss, compensation price) due to the Project construction or access road building			x	
2	Road degradation due to large circulation of construction materials		x	x	

No.	Feedbacks obtained from group discussions	Criteria			
		Environmental	Health & Safety	Social	Technical
3	The project implementation may affect water source and crop production		x	x	
4	Establishment of a common cultural house contribute to enhance community cohesion.			x	
5	Unemployment exists in the young people group			x	
6	Health insurance card is not granted to local villagers since mid-2021. A few number of villagers self-pay health insurance fees		x	x	
7	Support on agricultural businesses (seedlings) and training on agricultural production techniques			x	
8	Traditional instrument preservation (gongs)			x	
9	It is necessary to have public consultation through face-to-face meetings and through local radio system to disseminate the Project information, especially using Gia Rai language when necessary			x	
10	Rural road to the village is in degradation that needs to be improved			x	
11	Lack of lighting system in the main rural road			x	
12	Households in remote areas needs to be supported with direct electricity supply			x	
13	Improving school facilities in kindergarten and primary schools			x	
14	Applying school tuition fee reduction to local pupils			x	
15	The project is expected to contribute to socio-economic development of the commune and provide employment opportunities for the locals.			x	
16	The influx of migrant workers with high skills is believed to help change local awareness on skill development.			x	

No.	Feedbacks obtained from group discussions	Criteria			
		Environmental	Health & Safety	Social	Technical
Household surveys					
1	Loss of income source and means of livelihood			x	
2	Loss of agricultural assets			x	
3	Loss of crops, plants and fixed assets			x	
4	Fear of relocation			x	
5	Affecting their life safety (due to construction activities and increase in traffic density)		x	x	
6	Impacts on local public infrastructure		x	x	
7	Noise generation	x		x	
8	Impacts on environment (air, soil and water pollution)	x	x	x	
10	Health impact		x	x	
11	Electric shock/thunder		x	x	x
12	Unsatisfactory compensation			x	
13	Impacts on resident's houses		x	x	

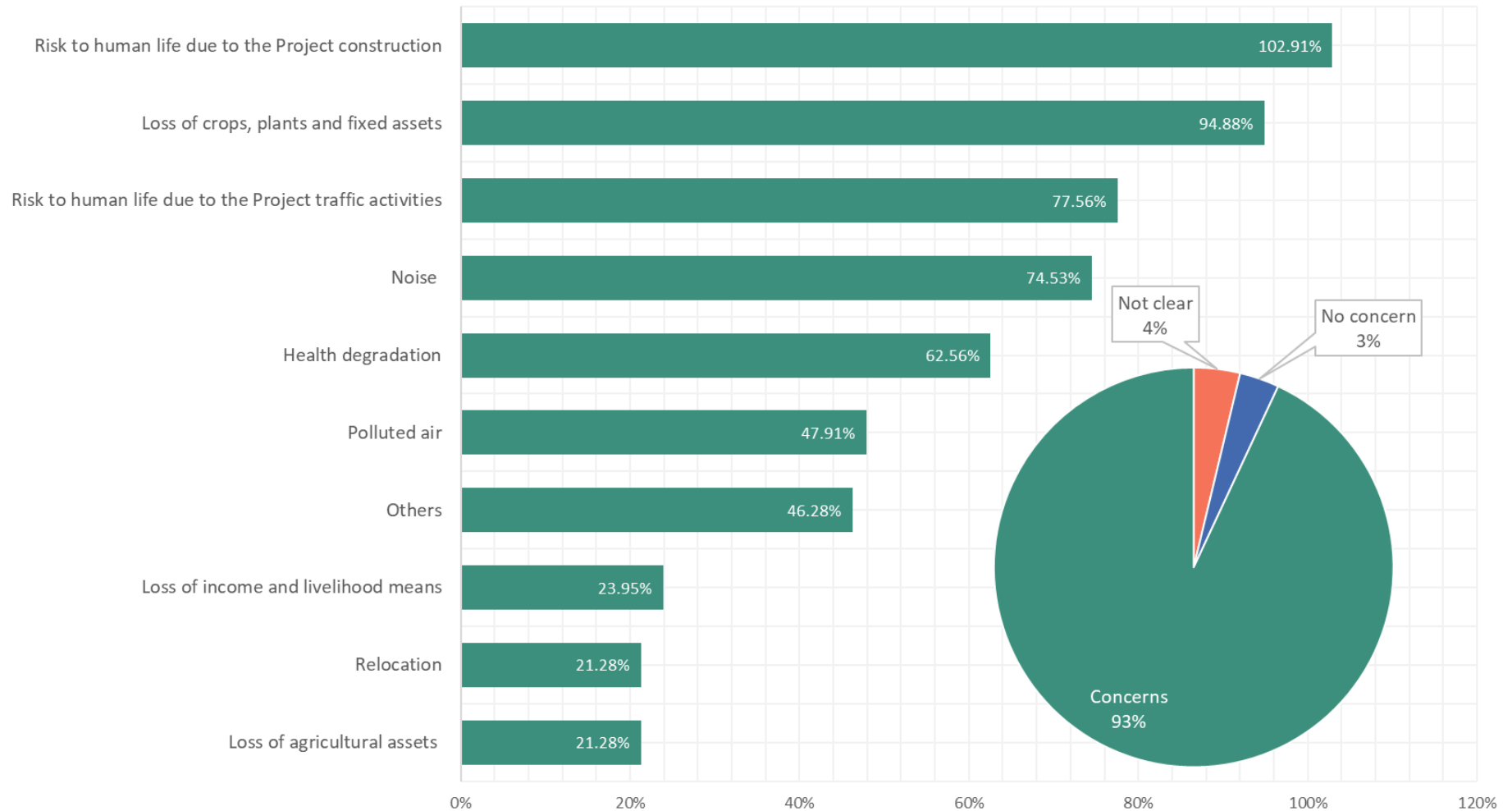


Figure 5.8 Statistics of Feedback Collected from Household Surveys

Figure 5.8 illustrated statistics of feedbacks collected from household surveys. Among the opinions collected from 63 households, concerns accounted for the largest proportion of 93%, followed by no concerns with only 4%. The number of people who have no concerns slightly higher than the number of people not sure about the impacts with 3%.

Among the concerns obtained from surveyed households, the one related to loss of income crops, plants and fixed assets and risk to human life due to the Project construction accounts for the same statistic of 14%. Followed by the worries of noise generation and risk to human life due to the Project traffic activities with 13% and 12%, respectively. Meanwhile, 11% of concerns belong to health degradation and polluted air received 9% of the votes. Additionally, less than 5% of response belong to the following matters:

- Relocation
- Loss of income and livelihood means
- Loss of agricultural assets
- Source of water
- Electric shock/thunder
- Impacts on resident's house
- Unfair compensation
- Impacts on local public infrastructure

5.2 Incorporating Stakeholder's Feedback into ESIA

The key issues identified through stakeholder engagement during the ESIA process were:

- Project impact to local livelihood and income generating activities;
- Project land acquisition compensation payment and community development due to land acquisition process, and
- Environment, health, and safety issues: environmental mitigation and management measures for noise, dust, waste, emission, worker influx, and traffic safety

Based on the performed interviews and observations during the site visit, these above mentioned issues are recognised as key concerns and therefore required to be taken into account within the environmental and social impact assessments. The assessment to abovementioned issues will be included as follow:

- Key social issues will be included in Social Impact Assessment of the ESIA.
- EHS issues, particularly those pertaining to noise, traffic and worker management, will be assessed quantitatively within the ESIA and appropriate mitigation measures developed.
- Stakeholder perception survey will be conducted again during the construction phase by the Project Owner to listen to the stakeholders' concern.

The outcomes of these assessments, alongside project management issues will be incorporated throughout the Environmental and Social Management Plan (ESMP), the Stakeholder Engagement Plan (SEP), and Grievance Procedure. Suggestions from the stakeholders on mitigation measures for environmental impacts will be incorporated into the Environmental and Social Management Plan, where appropriate.

6. GRIEVANCE MECHANISMS

6.1 Existing Complaint Mechanism of Local Authority

According to the Law on Grievances 2011, when stakeholders¹⁸ have any complaint against activities of an individual or organisation, they may log a complaint to the People's Committee at the commune level. The People's Committee at the 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 organisation and inform the stakeholders for their acknowledgment. In cases where the complainers disagree with the complaint resolution decision, they may follow the Grievance Procedure suggested in section 6 to log a grievance against such decision or re-log a new complaint to the higher administrative level (i.e. district or provincial levels).

6.2 Existing Grievance Mechanism of Local Authority

As described in section 2.1.2, 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 their 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 disagree with the first-time grievance resolution decision, or the grievance remains unsettled although the prescribed time for resolution has lapsed, they 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 disagree with the second-time grievance resolution decision or the grievance remains unsettled though the prescribed time for resolution has lapsed, they have 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 allegedly violating the related regulations and affecting the benefits of the grievant in accordance with the Code of Civil Procedure 2015.

6.3 AIIB Policy on The Project-Affected People's Mechanism

The Environmental and Social Policy (ESP) of the Asian Infrastructure Investment Bank (AIIB) provides a mechanism for public consultation and disclosure of information on the environmental and social risks

¹⁸ Stakeholders may be individual, groups or organization

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 mechanism is known as the Project-affected People's Mechanism (PPM).

The 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. More details of the PPM policy and procedure are provided in Appendix G.

6.4 Community and Worker Grievance Mechanism for the Project

ERM has developed this grievance procedure for the Project based upon internationally recognised best practices. Details of the external grievance procedure and worker grievance procedure are described in section 6.3 and section 6.5, respectively. It is noted that during the construction phase, the internal grievance procedure for receiving grievances from workers is the responsibility of both the EPC contractor of the Project and the Project itself. Hence, the Project Owner should discuss with the EPC contractor, when they are contracted, to establish an employee grievance procedure for EPC contractor's workers in the construction phase based on the worker grievance procedure proposed for the Project's employees.

6.4.1 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 grievance procedure needs to be developed and implemented to ensure that project related grievances can be identified, documented, solved, and monitored.

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

6.4.2 Proposed Community Grievance Mechanism

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

Grievances can be submitted to the Project through different channels including 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 Liaison Officer – CLO) of the Project.

The grievance procedure 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 Owner should appropriately recruit and allocate human resources to manage the procedure. A team of CLOs should be established under the management of the CSR Manager. Ideally,

individuals with a social and community management background should be recruited and assigned as a CLO and this could include members of the local community who have the requisite skill set.

Details of each step in a community grievance procedure are illustrated in Figure 6.1 and in the following text. It is noted that this proposed procedure includes the AIIB's complaint mechanism for project-affected people.

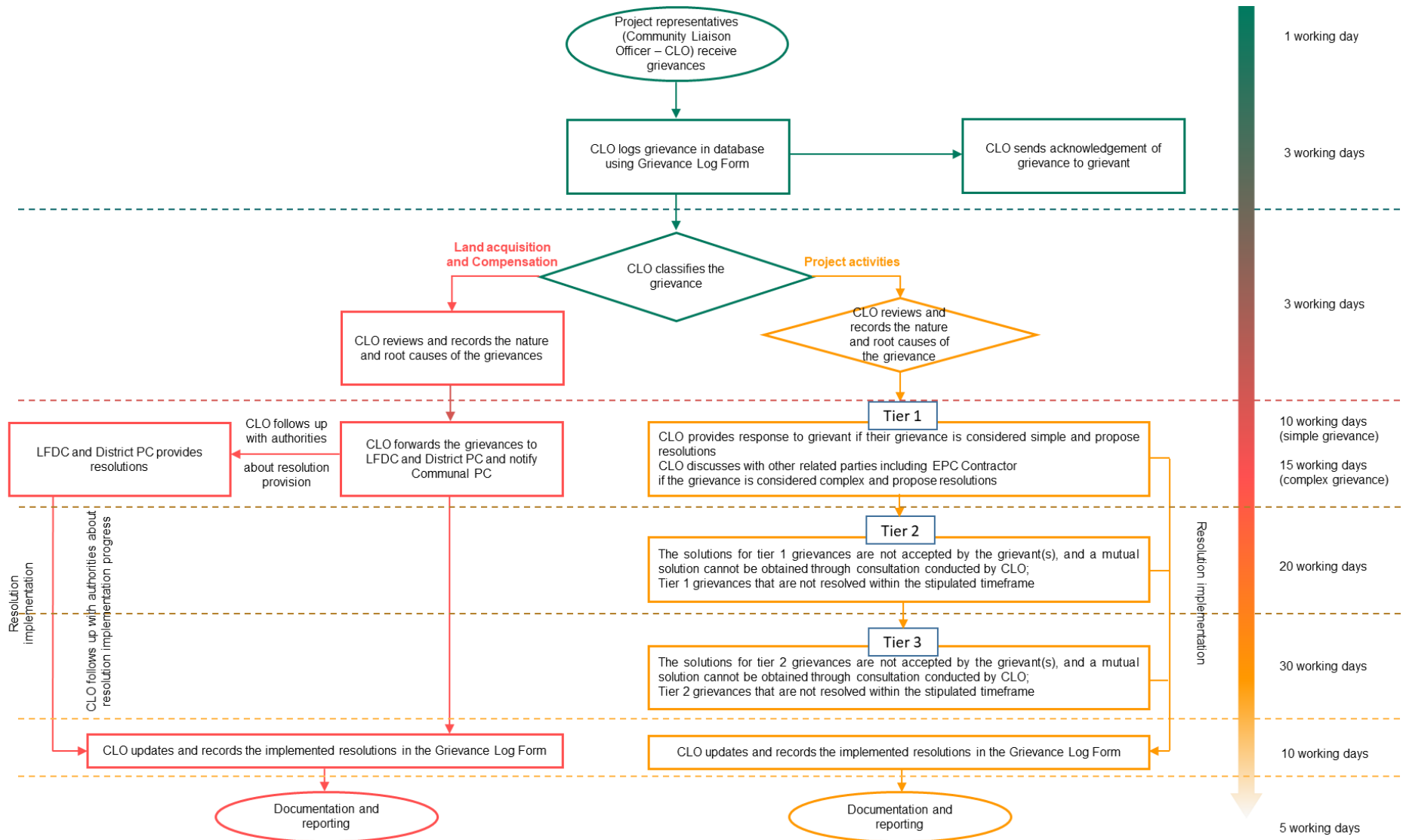


Figure 6.1 Suggested Grievance Mechanism for the Project

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

- The grievance should be received by the Project representative. Ideally a member of a communication or community relations function (e.g. Community Liaison Officer) should be responsible for this.
- The CLO 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 CLO 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 CLO should review and classify the grievance based on its nature.
 - Grievances relating to Land Acquisition and Compensation (LAC):
 - CLO will record the nature and root causes for grievance following up and monitoring; then
 - They will forward the grievance to the People Committee/LFDC of Ia Grai district who are in charge of the implementation of the compensation, support, and resettlement process for the Project to consult their resolution and notify Ia Pech, Ia Hrung, Ia Kha, and Ia Der commune PC.
 - Grievances relating to the Project activities can be classified into two levels of complexity, which are:
 - Simple grievances: for one-off grievances, and grievances which 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.

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

Step 4: Investigate and resolve grievances relating to the Project activities (approximately 10 – 30 working days):

- In the event that the grievances are assessed as ‘Simple’ such as issues asking for further information about the Project and Project related procedure, direct interaction between the CLO and the grievant(s) shall be conducted. Solutions can then be developed and implemented.
- In the event that the grievances are considered as ‘Complex’, there shall be immediate intervention of related parties such as senior managers, EPC contractor, and/or village heads and local authorities to seek their advice and then propose a resolution which is agreed by the parties involved. The Project should assign resources to set up a Grievance Committee. Members of this Committee typically include the CSR Manager (Project Director and other related managers, if need), and during the construction phase, managers of the EPC Contractor shall be involved to discuss and resolve the issues relating to their activities.
- Depending on the escalation of the situation, the grievances will be resolved through three different tiers as described in Table 6.1:

- If the solutions are not accepted by the grievant(s), the CLO 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 or grievances are not resolved within the stipulated timeframe, an on-ground Grievance Coordination Committee comprising of representatives from the Project Owners, Project's Affected Peoples (PAPs), and independent bodies, such as village head, should be established. The proposed committee will re-implement the process already carried out by the CLO to understand the grievance nature and root cause for proposing the solution; and
- If the solutions are not accepted by the grievant(s), a mutual solution cannot be obtained through consultation or grievances are not resolved within the stipulated timeframe after Grievance Coordination Committee involved, the grievance will be sent to Project's Affected Peoples Mechanism of AIIB.

Table 6.1 Escalation matrix and duration for resolution of grievances

Aspects	Tier 1	Tier 2	Tier 3
Trigger	<ul style="list-style-type: none"> ■ The grievance that can be resolved within stipulated timeframe 	<ul style="list-style-type: none"> ■ The solutions for tier 1 grievances are not accepted by the grievant(s), and a mutual solution cannot be obtained through consultation conducted by CLO; ■ Tier 1 grievances that are not resolved within the stipulated timeframe 	<ul style="list-style-type: none"> ■ The solutions for tier 2 grievances are not accepted by the grievant(s), and a mutual solution cannot be obtained through consultation conducted by Grievance Coordination Committee ■ Tier 2 grievances that are not resolved within the stipulated timeframe
Responsibility	A team of CLOs to be established under the management of the CSR Manager	An on-ground Grievance Coordination Committee to be established comprising of representatives from the Project Owners, Project's Affected Peoples (PAPs), and independent bodies such as village head	The Grievance Coordination Committee will be incharge to deliver grievances to Project's Affected People Mechanism of AIIB
Duration for resolution of grievances	10 – 15 working days after receiving grievances	20 working days after receiving grievances	30 working days after receiving grievances

- 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 days)

- Grievances relating to LAC: the CLO should work closely with the relevant authority to follow up with the resolution process regarding this type of grievance from the grievance review and resolution, to the implementation of the proposed resolution to ensure no grievances will be left unsolved or pending too long.
- For all grievances: The CLO is responsible for seeking the grievant(s) response/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.

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

- All follow-up actions shall be tracked in the Grievance Log of the Project.
- The CLO is responsible for maintaining all records in the Grievance Log.
- The CLO is responsible for preparing periodical reports to the CSR Manager about the resolution of each grievance processed by the CLO. The report will include the resolution and closure process.

Templates of all grievance-related documents including the Grievance Form, Grievance Log, and Investigation Form are provided in Appendix F of this report.

6.4.3 Note for Grievances Raised by Indigenous Peoples

As stated in AIB ESS3, develop a 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 AIB to be suitable for the Project; these may be supplemented, as need, 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 Gia Rai IPs are good and able to log in the grievances. Most of them can use both languages (i.e. Kinh/ Vietnamese and Gia Rai). 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 influencer) to determine the issues in advance;
- 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 4.3;
- Should be provided in a format and language readily understandable (e.g. bilingual languages including Vietnamese and Gia Rai) to the Gia Rai 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.

6.5 Worker Grievance Mechanism

6.5.1 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;
- Directly submitted to HR Specialist or Engineering, Procurement, and Construction (EPC) / Operation and Maintenance (O&M) Contractor's Site Personnel; and
- Anonymity must be kept at all times and that training must be provided to make all workers aware of this mechanism.

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.

6.5.2 Worker Grievance Process

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

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 6.2.

Table 6.2 Methods of Disclosing the Worker Grievance Mechanism

Methods	Benefits
One-on-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

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.

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).

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.

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.

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.

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

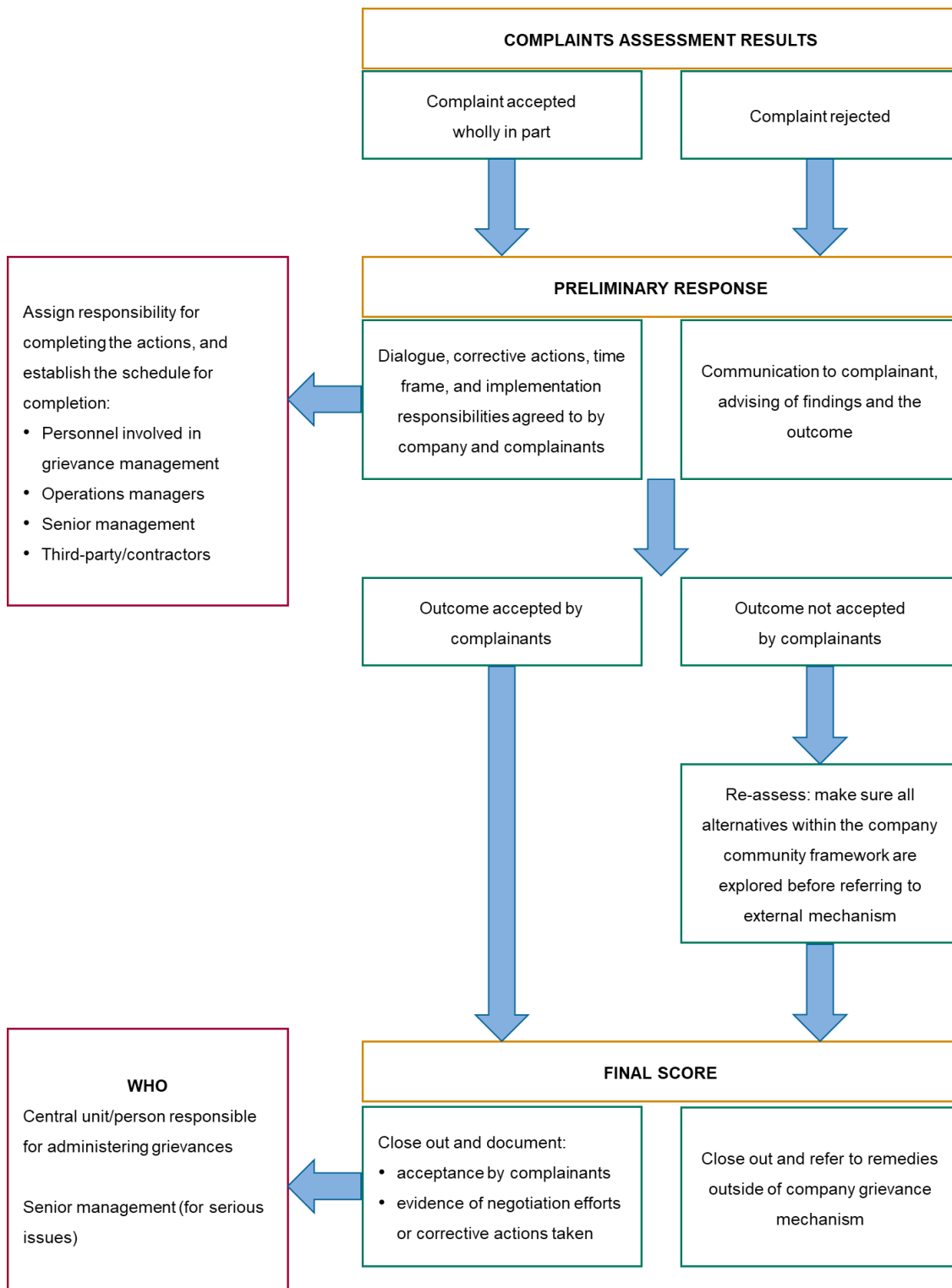


Figure 6.2 Development of Resolution Option, Response and Close-out

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).

6.5.3 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.

6.5.4 Grievance Register and Reporting

6.5.4.1 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).

6.5.4.2 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 6.3 below:

Table 6.3 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

6.5.5 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.

6.5.6 Training of Worker Grievance Mechanism

Table 6.4 present requirements related to main types of training with regard to the Worker Grievance Mechanism.

Table 6.4 Types and Timeline for Training of Worker Grievance Mechanism

Types of Training	Phase	Participants	Timeline and Frequency
Induction training	■ Construction;	Workers of:	■ Within 3 days after recruitment

Types of Training	Phase	Participants	Timeline and Frequency
	<ul style="list-style-type: none"> ■ Operation. 	<ul style="list-style-type: none"> ■ Site Management Team; ■ Subcontractors; ■ Relevant parties. 	
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.

7. FUTURE ENGAGEMENT

7.1 Future Engagement Plan

Activity	Documents/Topics to be Disclosed and/or Consulted	Purposes and Expected Outcome	Methodology	Involved Stakeholders	Timeframe
A	Engagement with Lenders				
Information Disclosure	<ul style="list-style-type: none"> ■ A draft full ESIA including the draft Environmental and Social Management Plan (ESMP) ■ The final ESIA ■ A new or updated ESIA and corrective action plan prepared during Project implementation, if any 	<ul style="list-style-type: none"> ■ Lenders will disclose ESIA on their websites to inform publicly environmental and social impacts associated with the Project. ■ ESMP will be disclosed on Lenders' websites to inform publicly a consolidated summary of all the Environmental and Social (E&S) commitments as well as E&S Management System that is required to implement to ensure execution of these commitments 	<ul style="list-style-type: none"> ■ Submit to the Lenders via email with soft copy version. 	<ul style="list-style-type: none"> ■ The Lenders 	<ul style="list-style-type: none"> ■ Disclosure: when the documents are confirmed as final
	<ul style="list-style-type: none"> ■ Draft specific environmental and/or social management plans endorsed by the 	<ul style="list-style-type: none"> ■ Lenders will disclose these documents on their websites 	<ul style="list-style-type: none"> ■ Submit to the Lenders via email with soft copy version 		<ul style="list-style-type: none"> ■ Disclosure: during the development of the documents

Activity	Documents/Topics to be Disclosed and/or Consulted	Purposes and Expected Outcome	Methodology	Involved Stakeholders	Timeframe
	<p>Project Owner before Project appraisal</p> <ul style="list-style-type: none"> ■ The final specific environmental and/or social management plans endorsed by the Project Owner ■ A new or updated specific environmental and/or social management plan ■ Corrective action plan prepared during project implementation, if any ■ The environmental and/or social monitoring reports 			<ul style="list-style-type: none"> ■ The Lenders 	<ul style="list-style-type: none"> ■ Disclosure: when the documents are confirmed as final
B	Engagement with other stakeholders				
Information Disclosure and Consultation	<ul style="list-style-type: none"> ■ Any other stakeholder-related environmental and social management plans that will be developed in future (e.g. Livelihood Restoration Plan, Biodiversity Management Plan) 	<ul style="list-style-type: none"> ■ Where relevant, in particular with influence on external stakeholders, the management plans shall be consulted with local authorities and disclosed to the local communities. 	<ul style="list-style-type: none"> ■ These documents will be provided in an accessible place (e.g. operational house, PC office of communes) and in a form and language(s) understandable to affected people and other stakeholders. Table 7.1 and Table 7.2 propose some approaches to consult with and disclose to relevant authorities and target communities 	<ul style="list-style-type: none"> ■ Relevant authorities and target communities 	<ul style="list-style-type: none"> ■ Consultation: during the development of the management plans; ■ Disclosure: when the management plans are confirmed as final for those developed for construction; and prior to operation phase for those developed for operation

Activity	Documents/Topics to be Disclosed and/or Consulted	Purposes and Expected Outcome	Methodology	Involved Stakeholders	Timeframe
	<ul style="list-style-type: none"> ■ Any major changes of 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 changes during the Project development may affect the stakeholders. Therefore, they should be aware of any major changes or potential major impacts, issues or opportunities of project. 	<ul style="list-style-type: none"> ■ These documents will be provided in an accessible place (e.g. operational house, PC office of communes) and in a form and language(s) understandable to stakeholders. Table 6.2 and Table 6.3 propose some approaches to consult with and disclose to relevant stakeholders 	<ul style="list-style-type: none"> ■ 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"> ■ ESIA 	<ul style="list-style-type: none"> ■ To obtain understanding and acknowledgement of the project development, potential impacts and commitments to mitigation measures. ■ To details how concerns raised during the stakeholder engagement process are addressed. 	<ul style="list-style-type: none"> ■ A non-technical summary of the Final ESIA in Vietnamese shall be prepared by the Project Owner. This document shall be disclosed to the stakeholders by sending official letters or presenting in town hall meetings or posting at the accessible points (e.g. People's Committee office of affected communes or website of the Project Owner). ■ For vulnerable people, other suitable communication methods will be used as proposed in Table 6.2 and Table 6.3. 	<ul style="list-style-type: none"> ■ Priority to key stakeholders including local authorities and local communities 	<ul style="list-style-type: none"> ■ When the ESIA is considered as final

Activity	Documents/Topics to be Disclosed and/or Consulted	Purposes and Expected Outcome	Methodology	Involved Stakeholders	Timeframe
	<ul style="list-style-type: none"> ■ Community grievance redress mechanism 	<ul style="list-style-type: none"> ■ For affected people to be aware of the availability of a grievance redress mechanism. 	<ul style="list-style-type: none"> ■ Grievance mechanism should be disclosed in Vietnamese and in an accessible place (e.g. operational house, PC office of communes) as well as in a form and language(s) understandable as proposed in Table 6.2 and Table 6.3. 	<ul style="list-style-type: none"> ■ Local authorities, local communities including affected communities 	<ul style="list-style-type: none"> ■ As soon as possible the grievance mechanism gets approved from the Project management; ■ Disclose again when there is any update/change on the grievance mechanism.
	<ul style="list-style-type: none"> ■ ESMP 	<ul style="list-style-type: none"> ■ To inform publicly a consolidated summary of all the Environmental and Social (E&S) commitments as well as E&S Management System that is required to implement to ensure execution of these commitments ■ For the Project Owner to consider the opinions of stakeholders in the development of management plans 	<ul style="list-style-type: none"> ■ Publicly disclose via the website of the Project Company ■ The ESMP should be in tabular format and disclosed simultaneously with the disclosure of the final ESIA. ■ It is noted that the ESMP should be disclosed in Vietnamese and be posted in a manner that ensuring the accessibility of different stakeholders including those who do not have access to the internet (i.e. local people). Some approaches proposed in Table 6.2 and Table 6.3 can be considered. 	<ul style="list-style-type: none"> ■ Priority to key stakeholders including local authorities and local communities 	<ul style="list-style-type: none"> ■ When it is confirmed to be finalized for those developed for Construction; and ■ Prior to commencing operation activities for those developed for operation.

Activity	Documents/Topics to be Disclosed and/or Consulted	Purposes and Expected Outcome	Methodology	Involved Stakeholders	Timeframe
	<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 or a summary of ESMR should be available in webpage of the Project Owner. ■ 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 in front of the Project Company office, or village head houses or commune bulletin board within the area where the Project is located. 	<ul style="list-style-type: none"> ■ Priority to key stakeholders including local authorities and local communities 	<ul style="list-style-type: none"> ■ Quarterly during construction ■ Semi-annually during operation ■ Or as per requested by the Lenders
	<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 status should be posted in front of the Project Owner office, or village head houses, or commune bulletin board within the area where the Project is located, 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 Owner if such website is available. 	<ul style="list-style-type: none"> ■ Commune level authorities and village heads 	<ul style="list-style-type: none"> ■ During the construction and operation if any update occurs

Activity	Documents/Topics to be Disclosed and/or Consulted	Purposes and Expected Outcome	Methodology	Involved Stakeholders	Timeframe
Monitoring	<ul style="list-style-type: none"> ■ Stakeholder consultation/perception survey 	<ul style="list-style-type: none"> ■ To study on the cumulative impacts generated from the operation of the Project and other neighbouring business developers in the Project area and promote good practices in implementation of environmental and social mitigation measures 	<ul style="list-style-type: none"> ■ Meetings among the Project Owner and other neighbouring businesses shall be conducted to share the practices of their businesses, discuss about challenges and mitigation measures and seek the continuous improvement. 	<ul style="list-style-type: none"> ■ Owners of other neighbouring businesses 	<ul style="list-style-type: none"> ■ Bi-annually during construction ■ Annually during operation ■ Ad-hoc for when necessary

Activity	Documents/Topics to be Disclosed and/or Consulted	Purposes and Expected Outcome	Methodology	Involved Stakeholders	Timeframe
		<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 misunderstanding if necessary. ■ To learn about the diverse perspectives from the stakeholders in regards of 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"> ■ Depending on the situation, timeline and purpose of the project's implementation, 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) ■ Proposed approaches in Table 6.2 and Table 6.3 can be considered to conduct stakeholder perception survey 	<ul style="list-style-type: none"> ■ Project Owner ■ Key stakeholders of Leverage and Engage groups (they should be local authorities and communities, affected individuals, village heads, livelihood groups, etc.) 	<ul style="list-style-type: none"> ■ Ongoing engagement bi-annually during construction and annually during operation ■ Ad-hoc for when necessary
C	Engagement with Engineering, Procurement and Construction (EPC) Contractor(s)				

Activity	Documents/Topics to be Disclosed and/or Consulted	Purposes and Expected Outcome	Methodology	Involved Stakeholders	Timeframe
Engagement with Management	<ul style="list-style-type: none"> ■ ESMP and other specific management plans 	<ul style="list-style-type: none"> ■ For EPC Contractor(s) 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, which include but not limited to the following: <ul style="list-style-type: none"> ■ Emergency Response Plan ■ Safety Transportation Management Plan ■ Workers Accommodation Management Plan ■ Traffic Management Plan 	<ul style="list-style-type: none"> ■ The ESMP should be disclosed to EPC Contractor(s) via email, in front of the Project Owner office or other area that accessible and in a form and language(s) understandable. ■ EPC Contractor(s) submit the specific management plans to the Project Owner via email with soft copy version. 	<ul style="list-style-type: none"> ■ Responsible personnel for social, environmental, health and safety from the Project Team and EPC Contractor(s) 	<ul style="list-style-type: none"> ■ Disclose ESMP prior to construction, as soon as possible before the EPC Contractor(s) commence their work; ■ Review specific management plans quarterly during operation ■ Monitor implementation of these plans as timeframe proposed by EPC Contractor(s)

<ul style="list-style-type: none"> ■ Community and Employee grievance mechanisms 	<ul style="list-style-type: none"> ■ For EPC Contractor(s) 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"> ■ Community grievance mechanism of the Project Owner should be disclosed in front of the Project Owner office or other area that accessible and in a form and language(s) understandable. Moreover, the mechanism should be disclosed as soon as possible before EPC Contractor(s) commences their work. ■ The EPC Contractor(s) is required to develop an Employee Grievance Management Plan to manage grievances from their employees. The EPC Contractor(s) 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 Contractor(s) is required to disclose it to their employees via internal email or internal social network group, in front of their office or other area that accessible for their employee and in a form and language(s) understandable. ■ It is noted that the grievance mechanism must protect the anonymity and safety of the employee who submitted grievances and/or complaints. ■ Monthly or ad hoc meetings shall be held between the Project Environmental and Social teams 	<ul style="list-style-type: none"> ■ Responsible personnel for social, environmental, health and safety from the Project Team and EPC Contractor(s) 	<ul style="list-style-type: none"> ■ Community Grievance Mechanism will be disclose prior to construction phase and development of the Employee Grievance Management Plan of the EPC Contractor(s). ■ Monthly or ad-hoc meetings, whichever comes first during construction phase
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Activity	Documents/Topics to be Disclosed and/or Consulted	Purposes and Expected Outcome	Methodology	Involved Stakeholders	Timeframe
	<ul style="list-style-type: none"> ■ Update on upcoming activities related to environmental and social management plans (i.e. influx, community health and safety) 	<ul style="list-style-type: none"> ■ For EPC Contractor(s) to be informed and cooperate if need. 	<p>and the EPC Contractor(s) to solve any grievances relating to EPC construction activities and to be updated with employee grievance resolution progress from the EPC Contractor(s).</p> <ul style="list-style-type: none"> ■ Regular or ad hoc meetings shall be held to update all involved parties on upcoming activities and status of social and environmental management plans 	<ul style="list-style-type: none"> ■ Responsible personnel for social, environmental, health and safety from the Project Team and EPC Contractor(s) 	<ul style="list-style-type: none"> ■ Engagement frequency depending on the requirement stipulated in each management plan
<p>Engagement with Workers</p>	<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 Contractor(s) 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 Contractor(s) 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"> ■ EPC Contractor(s) ■ Employees of Project Owner and EPC Contractor(s) 	<ul style="list-style-type: none"> ■ On-going training ■ Daily monitoring and quarterly audit prior to and during construction phase

Activity	Documents/Topics to be Disclosed and/or Consulted	Purposes and Expected Outcome	Methodology	Involved Stakeholders	Timeframe
	<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 workers to inform them of the environmental and social management activities to be undertaken by EPC 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 environmental and social 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"> ■ EPC Contractor(s) ■ Employees of EPC Contractor(s) 	<ul style="list-style-type: none"> ■ On-going engagement prior to and during construction phase

7.2 Engagement Requirements

7.2.1 Engagement Approaches

Throughout the Project's life-cycle, the Project Owner is required to implement several disclosure and consultation sessions with multiple stakeholders at different levels. Table 7.1 proposes a series of techniques for information disclosure and consultation that the Project can adopt for future engagements. Techniques that are used for disclosure may or may not be interactive, however, for public consultation it must be interactive.

Table 7.1 Techniques for Information Disclosure and Consultation

Techniques		Public Information Disclosure	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 the 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 (stratified by livelihoods, ethnicity, gender, et cetera)		×

Techniques		Public Information Disclosure	Public Consultation
Small group meetings	Focus groups (e.g. resource mapping, seasonal calendar)		×
	Public seminars	×	×
Large group meetings	Public meetings or open house meetings	×	×
	Public hearings	×	×
	Conferences	×	×
Other	Telephone hotline	×	×

Engagement with vulnerable group should be conducted in consideration of the following guidance.

Table 7.2 Engagement Approaches for Vulnerable Groups¹⁹

Vulnerable groups	Language Needs	Preferred Notification Means	Mandatory Needs
Ethnic minority people	<ul style="list-style-type: none"> ■ Gia Rai language 	<ul style="list-style-type: none"> ■ One-on-one meeting ■ Leaflet ■ TV ■ Radio ■ Newspaper 	<ul style="list-style-type: none"> ■ Messages conveyed clearly, loudly, and slowly enough ■ Non-technical language ■ Gia Rai language ■ Easy-to-understand graphics and illustrations ■ Interpreters who Gia Rai ethnic
Illiterate people	<ul style="list-style-type: none"> ■ Official language (Vietnamese) ■ Graphics and illustrations ■ Gia Rai language 	<ul style="list-style-type: none"> ■ One-on-one meeting ■ TV ■ Radio ■ Audio records 	<ul style="list-style-type: none"> ■ Messages conveyed clearly ■ Non-technical language ■ Easy-to-understand graphics and illustrations
Elderly people	<ul style="list-style-type: none"> ■ Official language (Vietnamese) ■ Gia Rai language 	<ul style="list-style-type: none"> ■ One-on-one meeting ■ Leaflet ■ TV ■ Radio ■ Newspaper 	<ul style="list-style-type: none"> ■ Messages conveyed clearly, loudly, and slowly enough ■ Non-technical language ■ Easy-to-understand graphics and illustrations ■ Printed materials for this group provided in large font
People with disabilities	<ul style="list-style-type: none"> ■ Official language ■ Sign language ■ Subtitles ■ Gia Rai language 	<ul style="list-style-type: none"> ■ One-on-one meeting ■ Leaflet ■ TV ■ Radio 	<ul style="list-style-type: none"> ■ Messages conveyed clearly, loudly, and slowly enough ■ Non-technical language²⁰ ■ Easy-to-understand graphics and illustrations ■ Printed materials for people with visual impairment provided in Braille

¹⁹ These approaches are applied when the people among the target groups listed are required to participate in information disclosure and public consultation

²⁰ This group is very sensitive and vulnerable in communication, so some suggestions have been made and are available at: [Respectful Disability Language](#) and [Disability Language Guide](#)

Accessed date: 21 July 2021

Vulnerable groups	Language Needs	Preferred Notification Means	Mandatory Needs
		<ul style="list-style-type: none"> ■ Newspaper ■ Braille 	
People with HIV	<ul style="list-style-type: none"> ■ Official language ■ Gia Rai language 	<ul style="list-style-type: none"> ■ One-in-one meeting ■ Leaflet ■ TV ■ Radio ■ Newspaper 	<ul style="list-style-type: none"> ■ Messages conveyed clearly ■ Non-technical language²¹ ■ Easy-to-understand graphics and illustrations
People living in a poverty condition	<ul style="list-style-type: none"> ■ Official language ■ Gia Rai language 	<ul style="list-style-type: none"> ■ Leaflet ■ Newspaper ■ 	<ul style="list-style-type: none"> ■ Messages conveyed clearly ■ Easy-to-understand graphics and illustrations
Women in economic and social vulnerability	<ul style="list-style-type: none"> ■ Official language ■ Gia Rai language 	<ul style="list-style-type: none"> ■ Leaflet ■ TV ■ Radio ■ Newspaper ■ Social media 	<ul style="list-style-type: none"> ■ Clear messages ■ Non-technical language ■ Easy-to-understand graphics and illustrations

²¹ This group is very sensitive and vulnerable in communication, so some suggestions have been made and are available at: [A Guide to talking about HIV](#) and [HIV Terminology and Appropriate Language Use Guidelines](#)

Accessed date: 21 July 2021

7.3 Gender Equality in Engagement

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 process²²:

- 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. 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 need to ensure representation of different perspectives across socioeconomic, caste, ethnic, and religious lines. Marital status and age can also be important factors.

²² IFC. USA. May 2007. Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets

7.4 Notes 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).

8. HUMAN RESOURCES AND RESPONSIBILITIES

8.1 Human Resources

It is recommended that the Project Owner establish a team comprising persons responsible for stakeholder engagement including grievance management. This team shall fall directly under the management of the CSR Manager and Deputy General Manager as demonstrated in Figure 8.1. Members of this team should have a social and community management and development related background and position title of these members will be Community Liaison Officers or similar nature. Persons with experience and knowledge of local customs are preferable. Besides, EPC Contractor also suggested to be launched and managed by Deputy General Manager. The following section solely describes the responsibilities regarding stakeholder engagement.

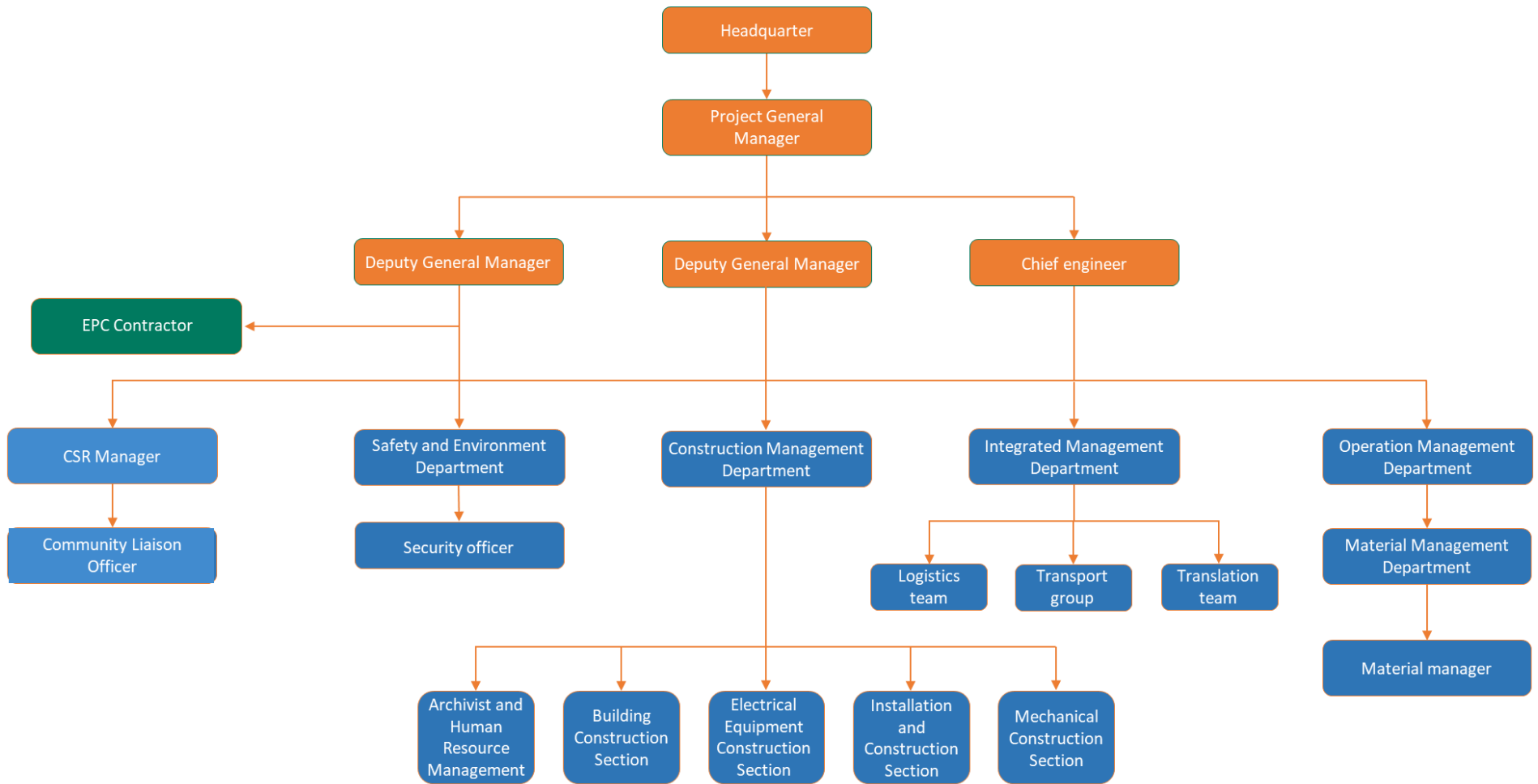


Figure 8.1 Proposed Organisation Chart for Project's Stakeholder Engagement Execution

8.2 Responsibilities

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

Deputy General Manager

- Plan and allocate human and financial resources for implementation of engagement activities;
- Appoint a CSR Manager and Community Liaison Officers for ongoing oversight of the implementation of the SEP;
- Lead the solving of grievances as guided in Figure 6.1; and
- Participate in the Grievance Committee of the Project, when required.

CSR Manager

- Review and approve the stakeholder engagement plan for the Project;
- Review the monitoring and auditing reports of the implementation on engagement activities before submitting them to the Site Manager;
- Report the implementation of engagement activities including grievance procedure to the Site Manager;
- Report to Lenders on engagement activities and grievance resolution implementation progress on the frequency agreed with the Lenders;
- Monitor the compliance of the contractor and subcontractors' performance on stakeholder engagement and grievance redress;
- Lead the solving of grievances as guided in Figure 6.1;
- Participate in the Grievance Committee of the Project;
- Ensure engagement activities and grievance resolution will be implemented in compliance with the approved SEP;
- Supervise the implementation of engagement activities and grievance resolution process;
- Monitor the implementation of engagement activities including grievance procedure and report to the Site Manager on a monthly basis during construction; and quarterly in operation;
- Proactively assess the need for other necessary engagement activities and request the CLO to update the SEP accordingly;
- Review the updated SEP before sending to the Site Manager for his/her review; and
- Lead the grievance mechanism monitoring and report to the Site Manager and other relevant parties as required.

Community Liaison Officer (CLO)

- Implement engagement activities in compliance with the SEP;
- Update the SEP annually from the date of SEP is approved by the CSR Manager;
- Conduct the monitoring of the SEP continuously during construction and operation phases;

- Conduct the SEP reporting monthly during construction phase and quarterly during operation phases;
- Report to CSR 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; and
- Seek advice of CSR Manager as any issues occurring during engagement activities.

EPC Contractor

- Communicate relevant environmental, social, safety, and health policies and management plans to subcontractors including this grievance mechanism; and
- Involve in construction-related grievance resolutions when needed.
- It is noted that EPC Contractor may allocate a social personnel to be in charge of above-mentioned responsibilities.

Project Employees, including both Project owner and contractors' employees

Attend appropriate training in relation to SEP implementation provided by Project's team to ensure respectful, accurate, and consistent communication with local communities and other stakeholders when receiving and processing of Project's enquiries and grievances.

9. 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 9.1. It should be noted that Table 9.1 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 9.1 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 Project Owner once information of budget is available

10. MONITORING AND REPORTING

10.1 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 10.1 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 10.1 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

10.2 Documentation

Record keeping throughout the process of the SEP plays a key role in the efficiency of SEP implementation. In line with the international guidelines mentioned in Section 2, documenting consultation activities and their outcomes is critical to effectively managing the stakeholder engagement process.

During the construction phase, the Community Liaison Officer (CLO) will take responsibility for documenting and reporting in collaboration with the Engineering, Procurement, and Construction (EPC) Contractor(s). During the operation phase, the CLO will be in charge of documenting and reporting stakeholder engagement activities to the Environmental and Social (E&S) Manager. Moreover, a log of external stakeholder communications including complaints and responses to them need to be maintained by CLO. The key information to be covered includes:

- when and where the engagement activities took place
- list of attendees
- discussed topics
- results of discussion, and

- commitments/actions, if any.

It is noted that once engagement occurs, local community and other interested parties may also want to receive feedbacks 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 grievance close-out report should contain:

- name of the individual or organisation
- date and nature of the complaint or concern
- any follow-up actions taken
- final results, and
- how and when this decision was communicated to the grievant.

10.3 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 to update SEP is specified in Section 9 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 I provides a template of a Stakeholder Log. The Project is responsible for maintaining the Stakeholder Log during the development of the Project therefore it is recommended that it identifies a person in charge for the log and its maintenance.

APPENDIX A EXISTING NON-GOVERNMENTAL ORGANIZATIONS IN GIA LAI PROVINCE²³

²³ This information referred to

https://www.ngocentre.org.vn/ingodirectory?field_ingo=&title=&field_projectsvietnam_value=&tid_1=275

Accessed date: 14 July 2021

No.	Short name	Organization name	Email Address	Phone	Mission
1	CEEVN	Center for Educational Exchange with Vietnam of the American Council of Learned	edex@ceevn.org	+84-4-3723 6825	Since 1988, CEEVN has assisted Vietnamese institutions and individuals obtain access to educational opportunities throughout the world. In this work, CEEVN is especially concerned to strengthen linkages between Vietnamese institutions and the international academy and to work with those institutions to provide disadvantaged individuals and communities with opportunities for learning and cultural expression.
2	WSPA	World Society for the Protection of Animals	N/A	+84 4 62764027	A world where animal welfare matters and animal cruelty has ended. The World Society for the Protection of Animals exists to tackle animal cruelty across the globe. We work directly with animals and with the people and organisations that can ensure animals are treated with respect and compassion. With your support, we campaign effectively to combat the world's most intense and large-scale animal welfare issues. We bring about lasting change by: <ul style="list-style-type: none"> • helping people understand the critical importance of good animal welfare • encouraging nations to commit to animal-friendly practices • building the scientific case for the better treatment of animals.

APPENDIX B MINUTES OF MEETING

MINUTES OF MEETING

Project	0599847 la Pech and la Pech 2 Wind Power Project
Meeting's content	Public Consultation with the People's Committee of la Grai district
Time	14:00 – 15:15, 26 th May 2021
Venue	People's Committee of la Grai district
Attended parties	<ul style="list-style-type: none">■ People's Committee of la Grai district■ ERM Vietnam <i>(List of attended parties is attached with this minutes of meeting)</i>

ERM opened the meeting with the purpose of discussion, introduced the participants from ERM, presented Project's information, and expressed its role in the creation of Environmental and Social Impact Assessment of la Pech and la Pech 2 Wind Power Project following international guidelines.

The consultant updated the Project's progress and emphasized the consideration of environment and social management through project development process.

A. Consultation questions and responses

1. Perceptions about the Project:

- The Project is recommended to ensure 300m safety zone for residential area

B. List of attended parties:

No	Name	Role/Job Position	Phone number	Email
1	Bùi Trần Như Phương	Social Consultant of ERM Vietnam	0979 741 066	phuong.bui@erm.com
2	Trần Quang Phát	Environment Consultant of ERM Vietnam	0909 908 604	phat.tran@erm.com
3	Mr. Hưng	la Grai district PC		
4	Mr. Tuấn	la Grai district PC		
5	Mr. Trường	la Grai district PC		
6	Mr. Tuấn	la Grai district PC		
7	Mr. Thành	la Grai district PC		

MINUTES OF MEETING

Project	0599847 Ia Pech and Ia Pech 2 Wind Power Project
Meeting's content	Public Consultation with the People's Committee of Ia Pech commune
Time	14:00 – 15:15, 27 th May 2021
Venue	People's Committee of Ia Pech commune
Attended parties	<ul style="list-style-type: none">■ People's Committee of Ia Pech commune■ ERM Vietnam <i>(List of attended parties is attached with this minutes of meeting)</i>

ERM opened the meeting with the purpose of discussion, introduced the participants from ERM, presented Project's information, and expressed its role in the creation of Environmental and Social Impact Assessment of Ia Pech and Ia Pech 2 Wind Power Project following international guidelines.

The consultant updated the Project's progress and emphasized the consideration of environment and social management through project development process.

A. Consultation questions and responses

1. Perceptions about the Project:

- There are complaints arising from local communities about noise generated by machine and car speed
- The PC mentioned that local people raised concerns about turbine No. 18 because it is located nearby their houses and its location is under negotiation with Ministry of Industry and Trade
- The Project Owner is requested to recruit local people for project in construction and operation process.
- It can be seen that intra-communal road will be affected during construction phase, the Project Owner needs to maintain them whenever construction phase end
- The Project Owner should support community development (such as constructing house of gratitude, communal house, etc.)

B. List of attended parties:

No	Name	Role/Job Position	Phone number	Email
1	Bùi Trần Như Phương	Social Consultant of ERM Vietnam	0979 741 066	phuong.bui@erm.com
2	Trần Quang Phát	Environment Consultant of ERM Vietnam	0909 908 604	phat.tran@erm.com
3	Mr. Mal	la Pech commune PC		
4	Mr. Luận	la Pech commune PC		

APPENDIX C LIST OF SURVEYED HOUSEHOLDS

STAKEHOLDER ENGAGEMENT PLAN

No.	Land Affected Household	Household Code	Interviewee's Name	Household head's name	Ethnicity	Village	Commune	Date of Interview
1	✓	NL01	Siu Pun	Siu Ih	Gia Rai	Nang Long-Osor	la Pech	27/08/2021
2	✓	NL02	Siu Ol	Siu Ol	Gia Rai	Nang Long-Osor	la Pech	28/08/2021
3	✗	NL03	Trần Hữu Thắng	Trần Hữu Thắng	Kinh	Nang Long-Osor	la Pech	27/08/2021
4	✓	NL04	Rơ Châm Aying	Rơ Châm Aying	Gia Rai	Nang Long-Osor	la Pech	27/08/2021
5	✓	NL05	Siu Kar	Siu Kar	Gia Rai	Nang Long-Osor	la Pech	27/08/2021
6	✓	NL06	Võ Thị Thúy Vân	Vòng Ứng Quang	Kinh	Nang Long-Osor	la Pech	27/08/2021
7	✗	NL07	Rơ Châm Lúi	Rơ Châm Lúi	Gia Rai	Nang Long-Osor	la Pech	27/08/2021
8	✓	NL08	Lê Thị Huệ	Võ Thanh Đức	Kinh	Nang Long-Osor	la Pech	27/08/2021
9	✓	NL09	Siu Hoan	Siu Hoan	Gia Rai	Nang Long-Osor	la Pech	27/08/2021
10	✗	NL10	Siu Get	Puih Jai	Gia Rai	Nang Long-Osor	la Pech	28/08/2021
11	✗	NL11	Rơ Châm Loh	Rơ Châm Loh	Gia Rai	Nang Long-Osor	la Pech	28/08/2021
12	✓	NL12	K Pă Ký	K Pă Ký	Gia Rai	Nang Long-Osor	la Pech	28/08/2021
13	✓	NL13	Siu Ngüu	Siu Prong	Gia Rai	Nang Long-Osor	la Pech	28/08/2021
14	✗	NL14	Siu Hleo	Siu Hleo	Gia Rai	Nang Long-Osor	la Pech	28/08/2021
15	✗	NL15	Siu Phun	Siu Phun	Gia Rai	Nang Long-Osor	la Pech	28/08/2021
16	✗	NL16	Rơ Châm Đắc	Rơ Châm Đắc	Gia Rai	Nang Long-Osor	la Pech	28/08/2021
17	✗	NL17	Rơ Lan H'Lă	Siu Ban	Gia Rai	Nang Long-Osor	la Pech	28/08/2021
18	✗	NL18	Piuh Sul	Piuh Sul	Gia Rai	Nang Long-Osor	la Pech	29/08/2021
19	✗	NL19	Rma In	Rma In	Gia Rai	Nang Long-Osor	la Pech	29/08/2021
20	✓	NL20	Nguyễn Thị Châm	Nguyễn Thị Châm	Kinh	Nang Long-Osor	la Pech	30/08/2021
21	✗	NL21	Răh Lan Uyn	Răh Lan Uyn	Gia Rai	Nang Long-Osor	la Pech	29/08/2021
22	✗	NL22	Rơ Châm Meng	Rơ Châm Meng	Gia Rai	Nang Long-Osor	la Pech	29/08/2021
23	✗	NL23	Siu Brich	Siu Brich	Gia Rai	Nang Long-Osor	la Pech	29/08/2021
24	✓	NL24	K Pă Plo	K Pă Plo	Gia Rai	Nang Long-Osor	la Pech	29/08/2021
25	✗	NL25	Siu Nok	Siu Nok	Gia Rai	Nang Long-Osor	la Pech	29/08/2021
26	✗	NL26	Rơ Châm Djik	Rơ Châm Djik	Gia Rai	Nang Long-Osor	la Pech	29/08/2021
27	✗	NL27	Siu Hrah	Siu Rí	Gia Rai	Nang Long-Osor	la Pech	29/08/2021
28	✓	NL28	Lê Văn Tinh	Lê Văn Tinh	Kinh	Nang Long-Osor	la Pech	30/08/2021
29	✗	NL29	Rơ Châm Pí	Rơ Châm Pí	Gia Rai	Nang Long-Osor	la Pech	30/08/2021
30	✗	NL30	Siu Huyih	Siu Huyih	Gia Rai	Nang Long-Osor	la Pech	30/08/2021
31	✗	NL31	Siu Hli	Siu Hli	Gia Rai	Nang Long-Osor	la Pech	30/08/2021
32	✗	NL32	Puih Mel	Puih Mel	Gia Rai	Nang Long-Osor	la Pech	30/08/2021
33	✗	NL33	Rơ Châm Đa	Rơ Châm Đa	Gia Rai	Nang Long-Osor	la Pech	30/08/2021
34	✗	NL34	Siu Sao	Siu Sao	Gia Rai	Nang Long-Osor	la Pech	31/08/2021
35	✓	NL35	Rơ Mah Xíu	Rơ Châm Ur	Gia Rai	Nang Long-Osor	la Pech	31/08/2021
36	✗	NL36	Rơ Châm Hker	Puih Rí	Gia Rai	Nang Long-Osor	la Pech	31/08/2021
37	✗	NL37	Siu Bi	Chư Mleo	Gia Rai	Nang Long-Osor	la Pech	31/08/2021
38	✗	NL38	Siu Đih	Siu Đih	Gia Rai	Nang Long-Osor	la Pech	31/08/2021
39	✓	NL39	Rơ Lan Hrih	Rơ Lan Hrih	Gia Rai	Nang Long-Osor	la Pech	31/08/2021
40	✗	NL40	Rơ Châm Buih	Rơ Châm Buih	Gia Rai	Nang Long-Osor	la Pech	31/08/2021
41	✗	NL41	Rơ Mah Kak	Siu A Lê	Gia Rai	Nang Long-Osor	la Pech	31/08/2021
42	✗	OG01	Rơ Mah Mên	Rơ Châm Đer	Gia Rai	O Gia	la Pech	30/08/2021
43	✗	OG02	Đặng Đợi	Đặng Đợi	Kinh	O Gia	la Pech	31/08/2021
44	✗	OG03	Siu Đin	Siu Đin	Gia Rai	O Gia	la Pech	31/08/2021
45	✓	OG04	Siu Điu	Siu Điu	Gia Rai	O Gia	la Pech	31/08/2021
46	✓	OG05	Siu Kiu	Siu Kiu	Gia Rai	O Gia	la Pech	31/08/2021
47	✓	OG06	Rơ Châm Dyiun	Rơ Châm Dyiun	Gia Rai	O Gia	la Pech	31/08/2021
48	✗	OG07	Nguyễn Văn Xuân	Nguyễn Văn Xuân	Kinh	O Gia	la Pech	31/08/2021
49	✗	ST01	Rơ Mah Hồng Hạnh	Rơ Lan Hônh	Gia Rai	Sat Tau	la Pech	29/08/2021

No.	Land Affected Household	Household Code	Interviewee's Name	Household head's name	Ethnicity	Village	Commune	Date of Interview
50	✓	ST02	Nguyễn Ngọc Cầu	Nguyễn Ngọc Cầu	Kinh	Sat Tau	la Pech	30/08/2021
51	✗	ST03	Tạ Văn Lợi	Tạ Văn Lợi	Kinh	Sat Tau	la Pech	30/08/2021
52	✓	ST04	Nguyễn Quý Cường	Nguyễn Quý Cường	Kinh	Sat Tau	la Pech	31/08/2021
53	✗	ST05	Nguyễn Văn Chính	Trần Thị Hiền	Kinh	Sat Tau	la Pech	31/08/2021
54	✗	ST06	Hoàng Thị Trinh	Nguyễn Văn Minh	Kinh	Sat Tau	la Pech	31/08/2021
55	✗	ST07	Trần Thị Lợi	Vũ Văn Cường	Kinh	Sat Tau	la Pech	31/08/2021
56	✓	ST08	Nguyễn Thị Quang	Lê Cảnh Hoang	Kinh	Sat Tau	la Pech	31/08/2021
57	✗	ST09	Nguyễn Văn Hùng	Nguyễn Văn Hùng	Kinh	Sat Tau	la Pech	31/08/2021
58	✓	ST10	Nguyễn Văn Triều	Nguyễn Văn Triều	Kinh	Sat Tau	la Pech	31/08/2021
59	✗	ST11	Rơ Lan Huyền	Rơ Lan Huyền	Gia Rai	Sat Tau	la Pech	31/08/2021
60	✓	ST12	Trần Văn Lĩnh	Trần Văn Lĩnh	Kinh	Sat Tau	la Pech	31/08/2021
61	✓	ST13	Vũ Văn Vui	Vũ Văn Vui	Kinh	Sat Tau	la Pech	31/08/2021
62	✗	ST14	Hoàng Minh Khiêm	Hoàng Minh Khiêm	Kinh	Sat Tau	la Pech	31/08/2021
63	✗	ST15	Nguyễn Văn Thiêm	Nguyễn Văn Thiêm	Kinh	Sat Tau	la Pech	31/08/2021

APPENDIX D LIST OF ATTENDEES PARTICIPATING IN FGD

No.	Name of Participants	Gender	Ethnicity	Village	Commune	District	Date of Interview
1. Women's Group							
1	Siu Jíp	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
2	Rơ Mah En	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
3	Siu H'Raih	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
4	Rơ Mah Xiu	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
5	Rơ Châm Hyúi	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
6	Rơ Châm Phonh	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
2. Ethnic Minority Group							
7	Rơ Châm Djik	Male	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
8	Siu Hleo	Male	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
9	Siu Nok	Male	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
10	Rơ Châm Loh	Male	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
11	Rơ Châm Djuih	Male	Gia Rai	Nang Long-Osor	la Pech	la Grai	29/08/2021
3. Vulnerable Group							
12	Siu Linh	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	30/08/2021
13	Siu Hlip	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	30/08/2021
14	Rơ Châm Pí	Male	Gia Rai	Nang Long-Osor	la Pech	la Grai	30/08/2021
15	Siu Xuyên	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	30/08/2021
16	Siu Lúi	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	30/08/2021
17	Kpa Lương	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	30/08/2021
18	Châm Pló	Female	Gia Rai	Nang Long-Osor	la Pech	la Grai	30/08/2021
4. Agriculture Group							
19	Rơ Lan Hôn	Male	Gia Rai	Sat Tau	la Pech	la Grai	31/08/2021
20	Tạ Văn Lợi	Male	Kinh	Sat Tau	la Pech	la Grai	31/08/2021
21	Nguyễn Ngọc Cầu	Male	Kinh	Sat Tau	la Pech	la Grai	31/08/2021
22	Nguyễn Văn Triều	Male	Kinh	Sat Tau	la Pech	la Grai	31/08/2021
23	Trần Văn Lĩnh	Male	Kinh	Sat Tau	la Pech	la Grai	31/08/2021
24	Rơ Lan Huyền	Male	Gia Rai	Sat Tau	la Pech	la Grai	31/08/2021

APPENDIX E LIST OF KEY INFORMANT INTERVIEWED

STAKEHOLDER ENGAGEMENT PLAN

No.	Full name	Gender	Ethnicity	Position	Village	Commune	Date of interview
1	Rơ Châm Hyúi	Female	Gia Rai	Village Party Cell Secretary	Nang Long-Osor	Ia Pech	27/08/2021
2	Rơ Lan Hôn	Male	Gia Rai	Village Head	Sat Tau	Ia Pech	29/08/2021
3	Siu Hleo	Male	Gia Rai	Village Influential Individual	Nang Long-Osor	Ia Pech	27/08/2021
4	Siu Ky	Male	Gia Rai	Former Village Head	O Gia	Ia Pech	30/08/2021
5	Puih Lat	Female	Gia Rai	Chairwoman of Women's Union		Ia Pech	31/08/2021

APPENDIX F TEMPLATES FOR COMMUNITY GRIEVANCE AND WORKER GRIEVANCE RELATED DOCUMENTS

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 G AIIB PROJECT-AFFECTED PEOPLE'S BROCHURE

APPENDIX H 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 I 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

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ERM Vietnam

3rd Floor, Saigon Finance Centre
09 Dinh Tien Hoang, Dakao Ward
District 1, Ho Chi Minh City
Vietnam

T: +84 28 3914 7800

F: +84 28 3914 7801

www.erm.com