The Republic of the Union of Myanmar

Ministry of Natural Resources and Environmental Conservation

Forest Department

Forest Restoration, Development and Investment Project (FREDIP)

STAKEHOLDER ENGAGEMENT PLAN (SEP)

(Draft for Consultations)

December 2020

Contents

LIST OF ACRONYMS USED IN THIS REPORT

CERC   Contingency Emergency Response Component
C-ESMP   Contractor's Environmental and Social Management Plan
CF   Community Forestry
CFE   Community Forest based Enterprise
CFUG   Community Forest User Group
CPPF   Community Participation Planning Framework
CSO/NGO   Civil Society Organization / Nongovernment Organization
DALMS   Department of Agricultural Land Management and Statistics
ESCP   Environmental and Social Commitment Plan
ESF   Environmental and Social Framework (of the World Bank)
EIA   Environmental Impact Assessment
ESMF   Environmental and Social Management Framework
ESS   Environment and Social Standard of the World Bank
FD   Forest Department
FGD   Focus Group Discussion
FREDIP   Forest Restoration, Development and Investment Project
GBV   Gender Based Violence
GOM   Government of Myanmar
GRM   Grievance Redress Mechanism
KII   Key Informant Interview
MONREC   Ministry of Natural Resources and Environmental Conservation
MRRP   Myanmar Restoration and Rehabilitation Program
NFMP   National Forest Master Plan
PA   Protected Areas
PDO   Project Development Objective
PMU   Project Management Unit
SEP   Stakeholder Engagement Plan
SME   Small and Medium Enterprises

Executive Summary

The purpose of this Stakeholder Engagement Plan (SEP) is to present the strategy for engaging project stakeholders under the proposed Forest Restoration, Development and Investment Project (FREDIP) to be implemented by the MONREC through the Forest Department (FD). The principles and actions defined in the SEP apply to all components of the FREDIP project including the main components related to Productive Forest; Community Forestry for Livelihoods; Forest Protection; Institutional Strengthening and Project Management; Contingency Emergency Response.

This SEP is part of the suite of environmental and social risk management documents for FREDIP, which also includes the **Environmental and Social Management Framework** (ESMF), with a set of annexes, the **Social Assessment**, and the **Environmental and Social Commitment Plan** (ESCP). The **ESMF** is designed to serve several functions. First, it provides a description of the baseline environmental and social (E&S) conditions that are key to understanding the importance of forest resources and ecosystem services in the national economy of Myanmar as well as the key drivers of deforestation and forest degradation throughout the country. Second it provides an assessment of the potential E&S risks and likely adverse impacts associated with the FREDIP. Third, it describes approach to screen and assess the key management, mitigation and management measures at site specific level which will be put in place to address the identified risks and impacts, and monitoring and reporting measures. Fourth, it describes the main institutional responsibilities, organizational structures, and resources (human and financial) required to successfully manage those risks and impacts. The **Social Assessment** covers a range of relevant social risk issues identified through pre-screening of social risks identified at the project Concept Stage. The **ESCP** sets out measures and actions required for the project to achieve compliance with the relevant World Bank Environmental and Social Standards with specified timeframes.

Drafts of the ESMF, Social Assessment, ESCP and this SEP in English and translations of their Executive Summaries in Burmese have been disclosed for public consultations on 27th December, 2020 on the website of the Forest Department https://www.forestdepartment.gov.mm/. Copies of these documents were also shared with all participants invited to a series of regional consultations held in January 2021 (organized using virtual connection means due to COVID-19 restrictions).

This text will be added to final versions only: *Final copies of these documents, completed based on the results of these consultations and cleared by the World Bank, have been disclosed on the FD website and by the World Bank on www.worldbank.org.*

By the nature of its design, FREDIP places a strong emphasis on improving stakeholder engagement and participatory forest management methodologies. The participation of the local populations is essential to ensure collaboration between FREDIP implementing entities and local communities and to minimize and mitigate environmental and social risks related to the proposed Project activities. Broad-ranging, culturally appropriate and adapted awareness raising activities are particularly important to sensitize the communities to the risks related to community forest, protected areas management, and use of revolving funds for livelihood support.

This SEP has been prepared in accordance with World Bank Environmental and Social Standard (ESS) 10 which describes stakeholder engagement as the continuing and iterative process by which the project

implementing authorities identify, communicate, and facilitate a two-way dialogue with the people affected by its decisions and activities, as well as others with an interest in the implementation and outcomes of its decisions and the project. One of the main goals of the SEP is to chart a path towards achieving meaningful stakeholder engagement throughout the project cycle. It is considered an essential aspect of good project management and provides opportunities for project implementing entities to learn from the experience, knowledge, and concerns of the affected and interested stakeholders, and to manage and, where possible, help stakeholder realize their expectations.

The FREDIP-SEP provides the overall framework for stakeholder engagement throughout the life of the Project to ensure that stakeholders understand the project, participate in meaningful ways in decision making that affects them and to create opportunities for them to provide feedback and input into the project. The principles, processes and measures described in SEP will be implemented starting from the project preparation stage through project implementation stage. The SEP is meant to help ensure that opportunities for meaningful consultation are provided to all stakeholders by providing project information in accessible, understandable, timely and relevant approach and to solicit feedback and suggestions on overall project performance.

Section 1 of the SEP provides a brief introduction to the FREDIP project, its development context, strategic goals, and main components. Section 2 briefly describes the range of consultative processes that were followed as part of the preparation of FREDIP and an associated Annex provides a detailed description of the various face-to-face meetings and consultation events that informed the preparation of the project as a whole as well as the preparation of the SEP.

During project preparation consultations were held with numerous Community Forest (CF) groups in different locations as well as NGOs and government staff. Discussions with CF user groups included a number of topics such as local socio-economic conditions, forest access, forest use, forest management of CF and non-CF communities, impacts on ethnic groups and marginal people. Several important issues were raised during preliminary consultations. For example, consultations carried out in anticipation of the project confirmed that in many CFUG the majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they frequently have difficulty in timely management of Community Forests according to the CF management plan. In addition, in the context of discussion of Protected Areas, concerns were expressed that due to heavy reliance on illegal collection of forest products for the livelihood, the livelihood of the majority of the villagers were not stable or secure. Consultations also indicated that there is less participation of women in CF activities due to men favored culture, women' household works. Ethnic groups are more interested and more active in CF activities than the Bamar ethnic people. Section 2 provides additional details on stakeholder concerns.

Section 3 of the SEP systematically identifies likely project stakeholders in order to determine their interests and influence on project activities, goals and outcomes. Section 3 assesses the key project stakeholders as defined under the World Bank ESS10 including[1] project affected parties; other interested

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[1] According to ESS 10, the term project-affected parties includes those likely to be affected by the project because of actual impacts or potential risks to their physical environment, health, security, cultural practices, well-being, or livelihoods. These stakeholders may include individuals or groups, including local communities. The term other interested parties refers to individuals, groups, or organizations with an interest in the project, which may be because of the project location, its characteristics, its impacts, or matters related to public interest. For example,

parties; and disadvantaged and vulnerable individuals or groups. Due to its wide range of activities and geographic scope, FREDIP comprises a diverse set of stakeholders including households and individuals directly affected by the project whether as beneficiaries or as adversely affected parties; government implementing and regulatory agencies; Civil Society Organizations; media; and the private sector.

FREDIP activities are especially relevant to individuals and communities who may be considered disadvantaged or vulnerable due to age, gender, ethnicity, mental or physical disabilities, and economic status, among others. The SEP recognizes that various types of barriers may influence the capacity of disadvantaged or vulnerable groups to articulate their concerns and priorities about project impacts. For example, barriers can exist for different ethnic, linguistic, and religious groups; low-income households; women; youth; persons with limited mobility; or persons with disabilities. Therefore, the SEP identifies such groups relevant in the FREDIP context and defines specific measures to ensure that such people are (i) not disproportionately affected by adverse risks and impacts of FREDIP and (ii) that they are not further marginalized in their desire to receive or participate in the project benefits. Section 3 assesses the different needs of each stakeholder groups as a basis for defining an overall strategic approach.

Section 3 presents operational guidance in tables that illustrate how project stakeholders are mapped against the various project components to illustrate how they may be affected by project activities as well to identify the most effective opportunities for successful outreach and consultative methodologies that will be important in different project situations.

Section 4 of the SEP provides a description of the specific stakeholder engagement measures to be followed under the project. This includes a description of the types of information to be made available to stakeholders at different stages of the project, the potential methodologies to be used and the assignment of institutional responsibilities. The chapter outlines strategies for information disclosure and for consultation processes to be implemented.

Section 5 provides an overview of the institutional responsibilities as well as the human and financial resources required to implement the SEP. The FD, through the Project Management Unit (PMU) at the national level and the PIU at the implementation level will be primarily responsible for ensuring the implementation of the requirements of the SEP including carrying out the consultation and engagement professes, documenting processes, ensuring appropriate GRM, coordination of activities, monitoring and reporting on implementation progress and status.

Section 6 describes the applicable grievance redress mechanisms. FREDIP will use a multi-tiered and multi-faceted approach to GRM including opportunities to raise grievances through multiple channel and methodologies such as email, telephone, written forms, verbal etc. The GRM will function at different levels including: Union level (FD-PMU); the FD at Township levels; contractors, and where, relevant CSO supporting implementation. The GRM for SEP is described in the context of other project related GRM processes such as those established for Labor Management Procedures, CF Planning, PA investments, use of Resettlement Frameworks and so on.

Section 7 describes the monitoring and reporting requirements for FD to follow during implementation. Monitoring and reporting on the SEP will be an essential task intended not only to document compliance

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these parties may include regulators, government officials, the private sector, the scientific community, academics, unions, women's organizations, other civil society organizations, and cultural groups.

with requirements but also to provide essential feedback to project managers in order guide and facilitate adaptive management of issues as they arise during implementation. The SEP calls for stakeholder participation in the monitoring process itself and requires that FD establish two-way communications to ensure that findings, conclusions and recommendations from monitoring are communicated back to different stakeholder groups in a timely manner.

The SEP is expected to be a "living document" in the sense that it will be revised from time to time during project implementation to take into account lessons learned and the effectiveness of project approaches. As part of regular monitoring the Bank and Forest Department should review and adjust the scope and content of the SEP to take into account project experience and stakeholder feedback.

1. Introduction

The purpose of this Stakeholder Engagement Plan (SEP) is to present the strategy for engaging project stakeholders under the proposed Forest Restoration, Development and Investment Project (FREDIP) to be implemented by the Ministry of Natural resources and Environmental Conservation (MONREC) through the Forest Department (FD). FREDIP has been designed in support of core forest sector objectives of Myanmar's Government to prevent deforestation and degradation of Myanmar's forests while enhancing efforts for forest restoration and for enabling more employment and economic opportunities for local communities through the establishment of community forestry initiatives and plantations and support to ecotourism around protected areas (PA)s.

The SEP provides an overall framework for stakeholder engagement throughout the life of the Project to ensure that stakeholders understand the project, participate in meaningful ways in decision making that affects them and to create opportunities to provide feedback and input into the project. The SEP outlines key elements of programs that will be carried out throughout the project cycle, the methods to be applied for stakeholder engagement activities, and the responsibilities of the project team, forest department and different agencies in the implementation of Stakeholder Engagement Activities.

This SEP will be implemented throughout the project cycle starting from the project preparation stage to project implementation stage to reflect the objectives and requirements of Environmental and Social Standard ten (ESS10) of World Bank's Environmental and Social Framework (ESF). Among other important principles, ESS 10 requires Borrowers undertake systematic identification of project stakeholders; to determine their interests and influence on project activities, goals and outcomes; to ensure meaningful consultation with all stakeholders to provide the information in accessible, understandable, timely and relevant approach; and to solicit feedback on overall project performance.
SEP is meant to be a "living document" that will be updated continuously in response to lessons learned and feedback from stakeholders. Many of the principles and processes described in the SEP will be incorporated into existing planning methodologies such as those established for community forest management planning or the implementation of protected areas (PA) plans. The quality, effectiveness and meaningfulness of stakeholder engagement will be monitored throughout the project implementation period.

1.1. Project Description

The Project Development Objective (PDO) of FREDIP is "to improve participatory sustainable forest management and increase benefit from forests to communities in target areas." The project will be implemented over six years from 2021-2027 in six Regions of Myanmar, including Ayeyarwady, Bago, Magway, Mandalay, Sagaing Regions, and Nay Pyi Taw Union Territory.

FREDIP is designed to contribute to Myanmar's forest sector objectives via four entry points:

1. Strengthening and expanding Community Forestry (CF) and CF enterprises and thus directly supporting MRRP targets for community-led forest restoration and CF enterprise establishment while at the same time creating direct benefits, including financial revenues and tenure security, for rural communities and businesses.

2. Restoring forest cover with an emphasis on supporting re-/afforestation in community forests and on public lands and on creating enabling conditions for establishment of private plantations.

3. Strengthening the Protected Areas (PA) System and expanding it through establishment of Community PAs with an emphasis on creating opportunities for collaborative management, and creating conservation-compatible economic opportunities with a focus on ecotourism development. This would directly support NFMP targets for PAs.

4. Improving the enabling conditions to support forest-based revenue generation, for both commercial and micro, small- and medium-scale forest enterprise development, and for improved access to profitable markets. This fourth axis of the project would be critical for the sustainability and economic viability of the first three intervention areas.

The project comprises five components[2]:

Component 1. **Productive Forests** will accelerate the increase of community forest area through supporting establishment of up to 1,000 new CFUGs and revitalizing up to 2,000 existing CFUGs, investing in implementation of their management plans, and support to CF enterprises, including support for improved market access and potential partnerships with commercial enterprises. This component will also support activities aimed at creating enabling conditions for private investments in sustainable forest plantations.

Component 2. **Community Forestry for Livelihoods** will support existing and new CFUGs targeted under Component 1 (up to 3,000 CFUGs in total), to start and expand their traditional and new sustainable livelihoods activities through set up of CFUG-managed revolving funds that provide small livelihood loans to CFUG members; the project will also provide related technical assistance and institutional support.

Component 3. **Forest Protection** will strengthen protected areas management for biodiversity conservation, for improved community engagement, and development of nature-based tourism to create job opportunities and revenue generation. The project will support up to 10 existing protected areas (PAs) in the project target regions, with nature-based tourism investments limited to 4 PAs. This component will also support detection and prevention of illegal forest activities in order to contribute to reducing illegal activities in key regions (Bago and Sagaing have been identified as initial priority areas).

Component 4: **Institutional Strengthening and Project Management** will invest in strengthening the efficiency and capacity of the FD as an apex body in the forestry sector, based on priority needs that will be identified through an institutional assessment of the FD, and will finance project management activities, including E&S risk management, communications, short-term technical assistance, training, grievance management, financial management, procurement, project management and support staff services, and required goods and incremental operating costs.

Component 5. **A Contingency Emergency Response Component** (CERC) with zero allocation will be created and made implementation-ready to allow the government respond quickly in case of an eligible emergency (such as a natural disaster or a pandemic).

1.2 Risks and Challenges in Stakeholder Engagement

The SEP is intended to address both the risks and opportunities that the FREDIP presents. FREDIP is designed to address existing weaknesses in participatory processes in the forestry sector and is supporting and promoting many activities to improve transparency, improve decision making, provide more secure

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[2] For a detailed description of project components, sub-components and activities please refer to the description in the project's ESMF or the Project Appraisal Document

access to resources, and to promote more meaningful participation in government community forestry initiatives. The Social Assessment (SA) and the Environmental and Social Management Framework (ESMF) prepared for the project identify several benefits from the community based approaches to forest management but they also identify specific risks. These may be aggregated and summarized into three broad risks for project stakeholders.

First, project activities may directly lead to adverse, negative impacts on different stakeholder groups, individuals or communities. These impacts could be associated with project activities that involve civil works construction or operation of productive enterprises which have undesirable environmental and social effects such as noise, community safety or pollution. In addition, project activities may, in rare circumstances, lead to the restrictions of access to land and forest resources in areas where more open forms management was accepted or ignored in the past. Any of these adverse impacts could have a broad impact within and among communities but they may be especially critical for disadvantaged and vulnerable groups who could be affected in a disproportionate way due to their underlying vulnerabilities.

Second, there is a high-risk that disadvantaged and vulnerable stakeholders are less likely to participate in accessing project benefits as a result of their relative disadvantages. In some cases, these disadvantages may be very location specific and will require additional analysis and consultations to fully understand how different groups could be impacted or prevented from participating. Constraints may relate to lack of skills, lack of time to commit to project activities, levels of literacy, language barriers, or lack of safety nets to allow for risk taking on new initiatives to name a few.

Finally, while the FREDIP includes support for many of the practices that promise to reduce direct adverse impacts and promote greater participation, transparency and accountability, there are risks that the project efforts may fail to achieve the desired outcomes. These risks may be related to lack of Forest Department capacity (resources and people) to carry out responsibilities, lack of commitment to achieving positive results, practices which could favor better off communities or individuals, or simply being unable to sustain momentum of CF efforts due to the level of effort required from local communities.

Clearly, the success of FREDIP will depend heavily on the extent to which it can establish meaningful stakeholder engagement processes. With these risks and opportunities in mind, the SEP seeks to establish an approach which both helps to identify direct adverse impacts and to help ensure that project benefits are available to all in a transparent and fair manner.

2. Brief Summary of Previous Stakeholder Engagement Activities

During the preparation phase of FREDIP, the GoM, through its Forest Department (FD) has carried out a number of consultation and stakeholder engagement activities. These include the following:

- consultation events carried out in the context of the preparation of the Social Assessment and the ESMF [3]
- public disclosure of key draft E&S documents (ESMF, SEP, LMP, ESCP, RPF etc.)
- solicitation of stakeholder feedback on E&S documents to improve quality scope and accuracy of specific E&S reports including ESMF and Supporting Annexes; RPF; PF; SEP; LMP among others.

These engagements are summarized in Chapter 4 and annex 1.

3. Stakeholder identification and analysis

Under ESS 10 three distinct stakeholder groups are recognized. Stakeholders divided into the following core categories:

- **Affected Parties** – persons, groups and other entities within the project's area of influence that are directly influenced (actually or potentially) by the project and/or have been identified as most susceptible to change associated with the project, and who need to be closely engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures;
- **Other Interested Parties** – individuals/groups/entities that may not experience direct impacts from the Project but who consider or perceive their interests as being affected by the project and/or who could affect the project and the process of its implementation in some way; and
- **Vulnerable Groups** – persons who may be disproportionately impacted or further disadvantaged by the project(s) as compared with any other groups due to their vulnerable status[4,] and that may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project.

3.1. Affected parties

Affected Parties under FREDIP include the following individuals and groups:

Individuals, Households or Community Groups

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[3] Please see Attachment 1 to the SEP for a complete description of previous consultation events associated with Social Assessment.

[4] Vulnerable status may stem from an individual's or group's race, national, ethnic or social origin, color, gender, language, religion, political or other opinion, property, age, culture, literacy, sickness, physical or mental disability, poverty or economic disadvantage, and dependence on unique natural resources.

- Forest users and/or user groups directly involved in project activities such as planning, formation of CF user groups, facilitation, or other implementation responsibilities as part of agreed CFMP or operation of CFUG or CFE
- Communities directly involved in project activities such as community-based ecotourism practices, and community monitoring in the PAs
- Ethnic groups and other Local Communities who are highly dependent on forest resources (timber, firewood, bamboo, food, honey, rattan etc.) who may be affected by project activities but not necessarily deriving benefits
- Ethnic groups and other Local Communities who are staying and farming on forest lands. Their settlement, their access to cultural heritages and their livelihood may be impacted by the project.
- Ethnic groups and other Local communities whose livelihoods may be impacted by the project.
- Individuals, households or community groups farming inside protected areas or in the forest area, but not residing inside PA area or inside forest area.
- Community groups that use water and water energy from the forest areas. Their access to water resources within the forest areas may be affected.
- Women from Ethnic group community and Local community.
- Other vulnerable groups whose access to cultural heritages, forest resources and land may be restricted by the project

Government management and implementing entities

- Government agencies (e.g., national, regional/state, district, township) with regulatory, oversight, enforcement, facilitation, or other project related implementation responsibilities.

Civil Society and Non-governmental Organizations in Facilitating Roles

- Civil Society Organizations and Non-Government Organization (CSO/NGO) with direct implementation responsibilities as technical service providers including but not limited to facilitation, community outreach, capacity building, consultations, monitoring and reporting

Private Sector

- Private Sector entities participating in or targeted by project activities, including for example, wood processing facilities, plantation owners, value added production etc.
- Construction contractors, the timber enterprises that have implementation responsibilities (contracts) and may have positive impact from project.
- Herbal medicine brokers and traders relying on forest resources.
- Non-timber forest products brokers and traders relying on forest.
- Consulting agencies (for example- EIA consulting firms).

3.2. Other interested parties

Civil Society and Non-governmental Organizations

- NGOs and CSOs intervening active in the area of Community Forest, Land Tenure and Gender Equality in the targeted project implementation areas who do not have a direct operational role in the FREDIP.
- CSO/NGO may have the interest and concern when it comes to the project affected parties and advocacy for community forest conservation, land tenure security of PAPs including the ethnic groups and local communities, and gender equality.

Government Departments

- Government Departments such as General Administrative Department, Department of Agriculture Land Management and Statistics, and other line departments at the local levels and Regional level may have the opinions, comments, suggestions to provide into project design but who are not directly involved in the day to day operations or implementation of the Project.
- Politicians
- Department of Rural Development
- Regional Government entities
- Environmental Conservation Department
- Directorate of Hotels and Tourism Department
- Regional Government entities

Media

- Media will be a useful link to reach out to stakeholders especially during disclosure of project information. Also, it can be a channel where stakeholders can communicate their interest, complaints and grievances.

Donors and financiers active in forest sector

- Donor Institutions active in the forestry sector
- Microfinance Institutions

Private Sector

- Plantation Associations
- Microfinance Institutions
- Forest Products and Timber Associations
- Myanmar Rattan and Bamboo Enterprise Association
- Academic Institutions and researchers

3.3. Disadvantaged / vulnerable individuals or groups

Certain groups may be considered disadvantaged or vulnerable to adverse impacts because of social characteristics that limit or prohibit their full participation in the project. These include:

- Landless individuals or households with lack of clear tenure security
- Females, especially female head households
- The poor and economically marginalized

- Ethnic groups including those ethnic groups that might be monolingual and are living in remote areas
- The elderly
- Persons with disabilities with limited means to participate in project benefits (mental and/or physical)
- Individuals and households who do not directly participate in CFUG, CFE etc. but who may be impacted by CFUG activities

Table 3.1 Indicative List of Project Stakeholders by Component

Component	Affected Parties	Other Interested Parties	Disadvantaged or Vulnerable
C1. Productive Forests	Forest users and/or community forestry user groups Ethnic groups Local Communities who are highly dependent on forest resources Ethnic groups and Local Communities who are staying and farming on forest lands Community groups that use water and water energy from the forest areas Government agencies (e.g., national, regional/state, district, and township)	Myanmar Timber Enterprise Government Departments: Myanmar Rattan and Bamboo Enterprise Association Plantation Associations Private Sector entities participating in or targeted by project activities	Landless individuals or households or HH with lack of clear tenure security Ethnic groups The poor and economically marginalized The elderly Person with disabilities Women
C2. Community Forestry for Livelihoods	Forest users and/or community forestry user groups Government agencies (e.g., national, regional/state, township) Local Communities who are highly dependent on forest resources	Microfinance Institutions Local government FD implementing entities CSO/NGOs	Ethnic groups The elderly Person with disabilities Women

Component	Affected Parties	Other Interested Parties	Disadvantaged or Vulnerable
	Herbal medicine brokers and traders relying on forest resources. Non-timber forest products brokers and traders relying on forest.		
C3. Forest Protection	Individuals, households or community groups farming inside protected areas Government agencies (e.g., national, regional/state, district and township) Communities and individuals participating in PAs monitoring and ecotourism activities?	CSO/NGO Donors working in PA Conservation groups Government Departments	Landless individuals or households or HH with lack of clear tenure security Ethnic groups The elderly Person with disabilities
C4. Institutional Strengthening and Project Management	Government agencies (e.g., national, regional/state, district township)	Donors CSO CFUG	
C5. CERC	NA	NA	NA

3.4. Summary of project stakeholder needs

Table 3.4 provides a brief summary of the main characteristics of each stakeholder group and the different approaches that may need to be tailored to meet their specific requirements for meaningful participation in the project. These characteristics will need to be taken into account before any final decisions on the modality of stakeholder engagement are made.

Table 3.4 Summary of Project Stakeholder Needs

Stakeholder group	Key characteristics	Language needs	Preferred notification means (e-mail, phone, radio, letter)	Specific needs
Individuals, Households and/or Community Groups	High degree of diversity within and among groups Geographically dispersed across the country Different ability to access technology especially computer-based web connections Different language and literacy levels	Burmese Local languages (Kayin and Chin, as identified as part of the project Social Assessment)	Face to face information through public meetings Information through trusted intermediaries such as NGOs/CSOs Simple written materials such as information sheets, brochures Mobile phone text messages/communication especially for community leaders Radio or other public service announcements Some limited access to websites and social media	Specific needs vary but will require special targeted programs for disadvantaged and vulnerable people such as women, the elderly, people with disabilities Information will need to be available in multiple languages and formats
Government management and implementing entities	High degree of education and literacy Sophisticated users of technology such as web-based information, social media, Usually have access to multiple forms of communications	Burmese language	Email Website linkages Social media Project progress reports, monitoring reports, etc.	Generally will need to be able to process larger amounts of information on specific topics of interest
Civil Society and Non-governmental Organizations in Facilitating Roles	Wide range of project interests Well educate	Burmese Other local languages and dialects, as	Email Social media and web-based links	Some CSOs are working in specific regions and /or with specific ethnic groups and may require highly specific

Stakeholder group	Key characteristics	Language needs	Preferred notification means (e-mail, phone, radio, letter)	Specific needs
	Sophisticated users of technology and communications

May be important conduits of information to local communities | identified in the Social Assessment – Kayin and Chin | Written progress reports and other project published materials | information on these issues

CSO may prefer information that can be easily translated or developed into public information |
| *Private Sector* | Interests tend to be specific to their business interests

Sophisticated users of technology

Can easily process information related to their interests | Burmese | Weblinks

Email

Published reports on Administrative and legal processes

Procedures and manuals | Private sector interests are very specific to their business needs and are often only interested in the information which affects them directly |
| *Other interested parties: Media* | Wide range of interests relating to project, project context and emerging issues

Able to access wide range of information in different forms | Burmese | Media information packages

email

Websites and other social media

Published reports on project progress, monitoring reports, independent evaluations | Interested in information that has broad public interest that can be shared in print or broadcast form

Often prefer direct access to knowledgeable individuals and experts for first person accounts |
| *Other interested parties: Donors and financiers* | Wide range of interests related to their own work

Sophisticated users of technology | English

Burmese | Face to face briefings

Summary progress reports

Websites and social media | Often prefer direct access to knowledgeable individuals and experts for first person accounts |

Stakeholder group	Key characteristics	Language needs	Preferred notification means (e-mail, phone, radio, letter)	Specific needs
			Email	

4. Stakeholder Engagement Program

4.1. Purpose and timing of stakeholder engagement program

The main purpose of the SEP is to document the main principles and procedures that will apply during the implementation period of FREDIP. Since FREDIP has not identified specific activities in specific locations the SEP serves as a framework for the implementation period. Stakeholder engagement processes will be carried out on a continuous, incremental basis throughout the project as location-specific activities are identified and initiated. Many of the project activities such as community forestry planning and formation of community forest user groups as well as forest protection in Protected Areas (PA) will follow established methodologies which incorporate stakeholder participation and consultation directly. For all project components and activities requiring stakeholder engagement, opportunities will be provided for stakeholders to express their concerns and suggestions prior to any decision being made on specific activities. These procedures and processes will be shared with stakeholders in advance of such project activities. Once decisions have been made, a key principle will be to establish mechanisms for continuous feedback including the register of grievances.

In specific situations, the Forest Department (FD)will apply different approaches for stakeholder engagement plan.in a manner consistent with the principles established in the SEP. This SEP cannot anticipate every specific community context but can ensure that the principles are understood and applied in practice. Different means for communicating and disseminating information or collecting stakeholders' views and feedback will vary depending on the specific project activities and the specific local context. For example using Phone, Emails, instant messages; Key Informant Interviews, Focus Group Discussions (sectorial, villages, private sector, etc.) meetings, public or community meetings, project website, broadcasting media.

4.2. Proposed strategy for information disclosure

Table 4.2. Proposed Strategy for Information Disclosure

Project Stage	List of the information to be disclosed	Target Stakeholders	Methods to be used	Responsible Agency
Project Preparation	Project Information, its anticipated	- FD officials (Regional, District and Township levels)	Virtual meeting (Social Media) & Other direct	Forest Department through Project

Project Stage	List of the information to be disclosed	Target Stakeholders	Methods to be used	Responsible Agency
	impacts, mitigation measures (in draft) Stakeholder Engagement Plan (in draft) Environmental and Social Commitment Plan (in draft) Social Assessment (in draft) Environmental and Social Management Framework (in draft)	- representatives from regional governments and line departments - NGOs and CSOs working in the forestry and related natural resources sectors in respective regions - private sector associations - development partners -local communities/community forestry user groups in project target areas	communication channels- mobile/ landline phone calls, SMS etc.) In person consultation meetings (if possible in view of the COVID-19 protocols) Focus Group Discussions (if possible in view of the COVID-19 protocols)	Management Unit
Project Implementation	Project Information Environmental and Social Management Framework (Final) Stakeholder Engagement Plan (Final) Project Progress Reports Environmental and Social Assessment Reports Environmental and Social Management Plan Brochures and Press Release, Posters Feedback of Consultations	National Level Forest Department and Regional Level Forest Departments of Target Regions -Government Departments (GAD, DALMS) and Regional Government of Target Regions -NGOs and CSOs -Local Community and Local Indigenous People -Vulnerable People -Private Sector (Timber based production, Value Added products focused SMEs) -Timber Enterprises and Associations -Tourism Associations and Tour Companies	Combination of Focus Group Meetings/ Discussions Virtual and In person Consultations Formal meetings with structured agendas FREDIP project website Forest Department Website Press Release on local media Broadcasting Media	Forest Department through Project Management Unit

Project Stage	List of the information to be disclosed	Target Stakeholders	Methods to be used	Responsible Agency
		interested in Community Tourism		
Project Completion	Project Completion and Evaluation Report	National Level Forest Department and Regional Level Forest Departments of Target Regions -Government Departments (GAD, DALMS) and Regional Government of Target Regions -Department of Archaeology, National Museum and Library - Worker Association - Department of Labor -NGOs and CSOs -Local Community and Local ethnic groups communities -Vulnerable People		Forest Department through Project Management Unit

4.3. Proposed strategy for consultation

This section briefly describes the methods that will be used to consult with each of the stakeholder groups. Given the wide range of location specific scenarios that could be encountered under FREDIP, this SEP encourages the FD to consider the use of a wide range of possible techniques and methods. Specific methods to be used at a particular site will vary according to characteristics of target audience. For example, one or more of the following methods should be considered:

• Interviews with stakeholders and relevant organizations and/or one-on-one meetings with some focus groups
• Surveys, polls, and questionnaires, including web-based or social media techniques
• Public face-to-face meetings, workshops, and/or focus groups on specific topic
• Traditional community based participatory methods for consultations and decision making

In each case, the exact modality for stakeholder engagement may vary. For example, some meetings may be facilitated by lead GoM agencies. In other cases, they may be led by local community leaders or Civil Society facilitators.

Table 4.3 Proposed Strategy for Consultation

Project stage	Topic of consultation	Target stakeholders	Method used	Responsibilities
Preparation	Project design, objectives Past performance and experience	All stakeholders	Focus groups Community face to face One on one with some key groups FD Website Social media: Facebook, Twitter Pamphlets Radio On-line surveys	FD (MONREC)
Appraisal	FREDIP draft ESF documents such as ESMF, SEP, LMP among others Final project design	All stakeholders	FD Website disclosure Focus groups On-line surveys	FD (MONREC)
Effectiveness	General information on project status	All stakeholders	Web based disclosure	PMU (National level) PIU at Township Level PA management Authority
Implementation	Project progress Status reporting Findings of monitoring reports Participation in targeted conversations of special topics	All stakeholders	Web based disclosure Public Consultations Workshops FD Website	PMU (National level) PIU at Township Level PA management Authority

Project stage	Topic of consultation	Target stakeholders	Method used	Responsibilities
			Social media: Facebook Pamphlets Radio	
Completion	Reporting of aggregated impacts	All stakeholders	Consultations	PMU (National level) PIU at Township level

It is important to note that the SEP, as with other environmental and social documents, will be modified in an incremental manner in response to feedback, concerns and suggestions made during various consultation events. For example, this consultation draft of the SEP was informed by stakeholder engagement events held during the project preparation stage (see following Section below). The Draft version of the SEP will be disclosed publicly to received feedback on the proposed approach. Based on that feedback the SEP will again be revised to reflect appraisal stage feedback. During implementation the SEP will be revised on a periodic basis to reflect experience and lessons learned during the initial phases of the project.

The current ontext of COVID-19 outbreak affects the Bank requirements for public consultation and stakeholder engagement. In the case of projects under preparation and stakeholder engagement is about to commence or is ongoing, such as in the project E&S planning process, stakeholder consultation and engagement activities should not be deferred, but rather designed to be fit for purpose to ensure effective and meaningful consultations to meet project and stakeholder needs following the Bank's Technical Note on Public Consultations and Stakeholder Engagement in WB-supported operations when there are constraints on conducting public meetings dated March 20, 2020. The note advises to avoid public gatherings (taking into account national restrictions), including public hearings, workshops and community meetings, and minimize direct interaction between project agencies and beneficiaries / affected people, make all reasonable efforts to conduct meetings through online channels, including webex, zoom and skype meetings and rely more on social media and online channels. In situations where online interaction is challenging, information can be disseminated through digital platform (see Annex 2).

4.4. Summary of Consultations already conducted

In preparation of FREDIP, the FD hosted a consultation workshop with key CF practitioners, related department agencies, NGOs/CSOs, development partners and CFUGs for reviewing and discussing key challenges and issues in terms of CF/CFE operations and related environmental and social risk aspects. Similarly, a workshop with private sector companies, associations, and concerned government agencies in the production sector was organized in consideration of incentivizing private plantation development and constraints and barriers were reviewed and discussed. Stakeholders' concerns, suggestions and recommendations were directly integrated into preparation of FREDIP. These stakeholder consultations were done before February 2020 (i.e. before COVID 19 restriction was in place in Myanmar) and were organized in person.

Several Focus Group Discussions (FGD) were already conducted with Community Forest User Groups, non-community Forest members, village administrators, ethnic groups, and marginalized people from the representative townships of four targeted regions – Sagaing, Magway, Bago and Ayeyarwaddy Regions. The purpose of the preparation stage consultations was to assess the stakeholder concerns over socio economic condition and to understand the forest access, forest use and forest management. These initial consultations were intended to facilitate in the preparation of various project documents including the SEP. However, it should be noted that the consultations were not yet conducted on the specifics of this SEP. This version of the SEP will be the subject of separate consultation process.

In addition to the FGD with CF village communities, (2) Focus Group Discussions (FGD) were also held with the community members including the marginal people and ethnic group from the villages near to the protected areas in Sagaing and Magway Region. The purpose of the FGD in protected area villages was same as the FGD in CF villages. The results of these FG were very helpful in anticipating the potential positive and negative impacts of proposed project activities to PAPs.

Key Informant Interviews (KII) were also conducted with various stakeholders from private sector, CSOs and NGOs, Forest Departments to understand their role for the sustainable forest management and the coordination activities and support to CF establishments. In such Interviews, Key Informants raised their problems and issues, their opinion and suggestions for sustainable forest management and for supporting to the CFUGs. Their suggestions, opportunities, and issues and problems will be brought to the finalization of the project design. (See Annex 1 for a complete summary of feedback received during preparation.)

Due to COVID-19, the above stakeholder engagement activities of FGDs and KII were conducted virtually by phone and social media- Facebook and Skype.
FREDIP consultations also built on a participatory Forest Tenure Assessment work that was led by the Forest Department and a working group formed of representatives from different stakeholder groups in second half of 2019 – early 2020, and these consultations were highly iterative and consultative in its nature, and engaged with local communities including from different ethnic groups. The FD convened two multi-stakeholder consultation workshops in Mandalay Region (for upper Myanmar) and Bago Region (for lower Myanmar), in which representatives from different stakeholder groups in the respective States/Regions participated. The two workshops offered an outline and a point of departure for consultative dialogues and discussions vertically with different stakeholders (at Union, States/Regions) and horizontally with relevant line ministries as well as stakeholders in civil society (including those representatives from different local and ethnic communities) and development partners in the forest and natural resources sector.

The preliminary findings and conclusions were prepared based on these regional consultations and validated with stakeholders at the National Multi-Stakeholders' Consultations and Validation Workshop in Nay Pyi Taw. The findings of assessment were fed into the framing of FREDIP design with the intention to identify opportunities to strengthen collective forest tenure and to avoid negative impacts that may arise from insufficient attention to tenure impacts, and were also useful to guide and complement the assessment of FREDIP project risks and risk management.

4.5. Proposed consultation workshops to get the feedback of the stakeholders

Further effective and meaningful consultation workshops with the stakeholders will be conducted in January 2020 to meet the project and stakeholders' needs. In line with COVID 19 parameters, these coming stakeholder consultation workshops will be carried out with the social distancing and other parameters set out from Ministry of Health and Sports. In these workshops, different ways of communication will be applied in receiving the comments and suggestions of the stakeholders upon the project activities. This may include skype, zoom, etc. The respective Forest Departments in each targeted region may lead to get engaged with the participating stakeholders in that workshops and would provide the require support in facilitating the consultations. The channels undertake to get the engagement of the stakeholders will be technologically suitable and applicable under the local conditions and will provide them clear mechanism to raise their feedbacks and suggestions.

4.6. Proposed strategy to incorporate the views of vulnerable groups

Many FREDIP components are designed to address the needs and concerns of vulnerable groups. Community Forestry programs as a whole are designed to take into account the economic and livelihood concerns of the poor, in general, as well as the needs of specific sub-groups such as women, ethnic groups, the elderly, people with disabilities among others. CF planning procedures and CF management measures are intended to be inclusive in nature however these aspirations may not always be achieved in practice.

The main strategy of the CF activities under FREDIP is to ensure that planning initiatives and CF themselves do a better job of identifying and targeting disadvantaged and vulnerable groups within a community and to improve the ability of FD facilitators or supporting NGOs to pro-actively involve such groups directly. In addition, the project recognizes the challenges and risks of so-called elite-capture of project benefits and planning practices as well as monitoring of plan implementation will include specific indicators to guard against risks of elite-capture.

This will be done in several ways. First, by requiring that stakeholder engagement procedures are designed to promote meaningful stakeholder participation with an emphasis on openness, transparency, accountability, fairness. This starts with a focus on activity screening for environmental and social impacts and risks before activities are started on the ground. Second, by strengthening the capacity of the FD staff and other CF facilitators to support such CF planning processes. This will be done by preparing adequate reference and technical guidance materials and providing staff training which emphasizes the need to focus on such issues. Third, by establishing functional GRM to allow concerns and/or complaints to be raised and addressed in a timely way.

4.7 Review of Comments

As mentioned above, during project preparation, starting from December 2018, first in person and during the COVID-19 lockdown period using remote connections, consultations were held with numerous CF groups in different locations as well as NGOs and government staff. Discussions with CF user groups included a number of topics such as local socio-economic conditions, forest access, forest use, forest management of CF and non CF communities, impacts on ethnic groups and marginal people. The details of the meetings held and principle concerns raised is summarized in Annex 1 of this SEP.

Several concerns were raised consistently in relation to disadvantaged and vulnerable groups including the following (See attachment 1 for a complete discussion of consultation findings):

- In many CFUG the majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they frequently have difficulty in timely management of CF according to the CF management plan.
- One CFUG tried to produce bamboo-based value-added products, but due to lack of market linkages and lack of the fund, it was stopped within few months. Local market is not suitable to sell their forest products.
- In the context of discussion of Protected Areas, concerns were expressed that due to heavy reliance on illegal collection of forest products for the livelihood, the livelihood of the majority of the villagers were not stable and safe.
- Less participation of women in CF activities due to men favored culture, women' household works
- Some community groups are not yet aware of their right to develop the CF and their right to ownership of those CFs
- Ethnic groups people are more interested and more active in CF activities than Bamar ethnic people
- Participation of community is important in controlling illegal logging of forest products
- More incentives should be provided to community groups for more participation in forest conservation and management
- Negotiation with encroached community is still challenging for land acquisition in the matter of establishing CF.

4.9 Future Phases of Project

In the context of community forest planning and management during the future phases of the project, several aspects will be emphasized as part of project design including: (i) improved planning methodologies to more directly incorporate views of vulnerable groups; (ii) training and capacity building of FD and CSO staff that are tasked with facilitation of community forest planning and implementation; (iii) improved monitoring to determine whether vulnerable groups are marginalized or not able to share in project benefits with a particular emphasis on minimizing the risks of elite capture of benefits.

In the context of strengthening Protected Areas management efforts will be made to improve the rapid assessment of social context and risks prior to commencing any activities in PA (see Annex 12 of the ESMF Process Framework) for a more complete discussion of the approach to evaluating PA risks and for strengthening more inclusive engagement process in PA management measures.

5. Resources and Responsibilities for implementing stakeholder engagement activities

5.1. Resources

Financial resources for implementation of the SEP will be included in the overall Project budget under Component 4 Institutional Strengthening and Project Management and, considering the participatory approach taken by project activities, is mainstreamed in activities' budgets.

5.2. Management functions and responsibilities

The project implementation activities under the SEP will be the responsibility of Forest Department through the project management unit (PMU) at the national level and Project Implementation Units (PIU) at the Township levels. Specifically, the PMU will designate Social Specialists and an Environmental Safeguards Specialists that are responsible for overseeing and coordinating all activities associated with stakeholder engagement, manage all activities related to database, logistics, and interaction with various stakeholders. Documentation of stakeholder engagement activities such as the summary of consultations will be carried out during project implementation by the PMU in coordination with local PIUs. Such documentation will be uploaded periodically on the FREDIP project website.

The FD usually interact with:

- line departments (GAD, DALMS) for coordinating its works regarding land issues resolution; forest inspection and survillence.

- people who act as informers to FD about illegal timber activities. They are annonymous to others, may be known or anonymous to FD. But this mechanism is mainly informal and on a call basis.

- The people/middle men who do business with forest products/Non Timber forest Products production in formal way.They come to FD offices and apply for an annual extraction permit (usually there is a fixed amount/limit for annual production e.g. bamboo, charcoal, honey, rattan etc.) and get necessary signature of FD Office Head when they need to transport these products out of the township (transpot permit).

- communities for community forestry establishment and implementation.

Specific role and responsibilities of PMU and PIUs are described in Table 5.2.

Table 5.2 Management Functions and Responsibilities

Phase	Role and Responsibilities	
	PMU	PIU
Planning	Outreach of the information to stakeholders (combined with WB Task Team and safeguard team, Regional FDs and township FDs, Regional GAD and township GADs, Union NWCD) Consultation workshops (combined with WB Task Team and safeguard team, Regional FDs and township FDs, Regional GAD and township GADs, Union NWCD)	
Implementation	Disclose project information activities to the stakeholders Planning and preparation of the stakeholder engagement activities	Invite the different stakeholders to engage in stakeholder engagement activities

Phase	Role and Responsibilities	
	PMU	PIU
	Leading the stakeholder engagement activities

Coordination/ supervision of contractors on SEP activities

Monitoring/ Supervision of ESMP and RAP coordinating with the contractors and consultants

Reporting of Environmental and Social Performance of the project to the world bank

Redress Grievance at National Level

PMU supervises the PIU in the implementation of all commitments in this IPPF | Documentation of consultation with stakeholders including specific processes for indigenous peoples

Monitoring and Reporting on ESMP at the local level

Redress Grievance at the project working area (local level) |
| Post Implementation | Reports aggregate impact of the project to all relevant parties. | |

6. Grievance Mechanisms

The ability of project stakeholders of all types to raise concerns, complaints or grievances relating to the implementation of FREDIP – and have them addressed in a timely, fair, transparent and meaningful way - is a key element of success for the project as a whole. Given the complexity of the FREDIP design with respect to both the geographical and thematic scope of the operation, the approach to Grievance Redress will need to be multi-tiered and multi-faceted. MONREC and the Forest Department (FD) are committed to ensuring that feedback and grievances related to FREDIP are encouraged from all project stakeholders.

The FREDIP Grievance Mechanisms will be **multi-tiered** to take into account the different levels of responsibilities within the overall organizational structure as well across a large geographic and jurisdictional landscape. The GRM will also be **multi-faceted** to cover a wide range of potential project issues such as those related to Labour and Working Conditions, (ESS2) Resettlement Policy Framework, (ESS5), Community Participation (ESS7) and / or Contractor GRM. (ESS1) The various Grievance Redress Mechanisms will be established to solve the complaints of all interested and affected stakeholders raised throughout the implementation period of the project. [5]

The aim of the grievance mechanism is to achieve mutually agreed resolution of grievances raised by such stakeholders. A GRM committee will be established with the representatives from local community, project labors, women, local authority at the village level and township level, the contractors and PIU unit

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[5] For a complete review of the various GRM established under FREDIP see Chapter 8 of the Project ESMF.

at the local level. All types of GRM will be handled by GRM committee. This committee will be trained in management of complaints including GBV cases.

The implementation of FREDIP may generate a wide range of complaints and grievances from various stakeholders. Some example of the complaints/ grievances may include, but are not limited to, the following:

(i)   Unfair wages among the workers
(ii)   Low wages to workers
(iii)   Gender Discrimination regarding with the employment and wages
(iv)   Child Labor Use
(v)   Gender Based violence
(vi)   Sexual Exploitation
(vii)   Corruption Cases
(viii) Negative impacts on the community (Nuisance, pollution, safety etc)
(ix)   Unacceptable behavior of the staff members and employees[6]

At a minimum, a functional GRM at each level of project implementation should include the following steps-

Step 1: Submission of grievances & complaints
Step 2: Recording the grievances and complaints and acknowledgement of the receipt of the complaints and grievances to the stakeholders who raised concerns
Step 3: Investigations on the complaints and grievances
Step 4: Resolution of case
Step 5: Appeal Process (if complainant is not satisfied with result)
Step 6: Final resolution, reporting closure of case

The project GRMs will ensure that grievances or complaints can be submitted through various channels, including, but not limited to, the following:

(i)   In person visit to Project Implementing Unit (PIU) at the local level or to Project Management Unit (PMU) at National Level
(ii)   Written submission by email or post (Email addresses of the contact persons-PIU complaint handling personnel, PMU safeguard unit, will be provided)
(iii)   Through the World Bank's Grievance Redress Service (GRS) (Contact Details of World Bank to be provided)
(iv)   Mobile phone of PIU complaint handling personnel and PMU safeguard personnel

Several of the FREDIP ESF supporting documents describe specific aspects of grievance mechanisms established for different purposes. These include the ESMF, the LMP, the RPF, Protected Areas Planning Annex, among others. The section summarizes the main administrative mechanisms for GRM. Additional details can be found in the respective ESF documents. such as the LMP, ESMF, the Process Framework (PF) and the Community Participation and Planning Framework (CPPF) prepared under ESS7

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[6] The Labor management procedures (LMP) developed for the project discuss in detail the mechanisms for avoiding unacceptable staff behaviours and refers to establishment of Codes of Practice for all project workers.

At a minimum, MONREC and the FD will establish GRM at the following administrative levels:

Ministerial Level (MONREC and FD)

At the highest level MONREC, through the FD senior management, will assign overall responsibilities for GRM compliance and performance monitoring to the Project Steering Committee (PSC) (see Chapter 10 of ESMF) who will oversee and monitor all grievance redress mechanisms across the entire project. The PSC is not intended to function as a direct recipient of grievances. The PSC will meet periodically to review the status of existing, unresolved grievances and provide guidance and advice on the resolution of grievance within the mandate of the Ministry.

Forest Department Project Management Unit (PMU)

A Project Management Unit (PMU) will be established within the Forest Department at the national level. Among other tasks, the PMU will be responsible for reviewing and vetting unresolved grievances which have been referred from FD field units. The FD PMU will serve as a direct recipient of grievances in cases of highly sensitive nature or where there is a need to protect the identify of complainants. The FD will assist in the resolution of such cases within their jurisdiction and mandate. In the event that grievances will need to be addressed outside of the FD jurisdiction, such grievances will be referred to the PSC for final resolution. The FD PMU will designate specific staff to receive, document, and follow-up on grievances received and will establish channels for submitting grievances within 30 days of project effectiveness.

The PMU (National level) shall make publicly available the following information:

> Name of designated staff member(s) responsible for GRM

> Mailing address or location of office where written or oral submissions can be made

> Phone number of GRM office (hotline)

> Website or social media sites where complaints or grievance can be raised

Forest Department Operational Units (PIU at Township Level).

Many of the project's key activities will be implemented by FD operational units at the Township Level. Township level FD office will directly manage the field staff and will be responsible for implementing the CF activities, including community budgeting and planning, monitoring & evaluation, E&S risk management, gender and social inclusion, outreach communication, GRM and other issues of FREDIP at the township level. Each Township level FD unit will establish mechanisms for receiving, recording, and addressing grievances associated with Township level initiatives, activities and sub-projects carried out under the project.

Within 30 days of project effectiveness each participating FD Township office will establish the GRM and make publicly available the following information:

> Name of designated staff member(s) responsible for GRM

Mailing address or location of office where written or oral submissions can be made

Phone number of GRM office (hotline)

Website or social media sites where complaints or grievance can be raised

Contractors

Each contractor who is contracted to construct civil works under the project will be required to establish a Contractor's GRM as part of the Contractor's Environmental and Social Management Plan-ESMP. This GRM will address site specific issues within the mandate of the ability of the contractor. Such grievances may include, for example, complaints about safe operation of construction equipment, noise, construction outside of designated hours, indiscriminate waste dumping, sexual harassment by contracted workers or other undesirable behavior in local communities. Contractors will also have an important role with respect to labor disputes or grievances.

Each contractor will also need to establish mechanisms to consider worker grievance in line with the requirements of the LMP (Annex 8 of the ESMF).)

All contracts for civil works will require contractors to establish a GRM prior to the commencement of contract works. The contractor shall make publicly available in the vicinity of the works the following information:

Name of designated staff member(s) responsible for GRM

Mailing address or location of office where written or oral submissions can be made

Phone number of GRM office (hotline)

Website or social media sites where complaints or grievance can be raised

Community Forest User Groups (CFUG)

CFUG will need to establish GRM as part of the administration of the CFUG itself. Complaints may arise from time to time on the implementation of CF plans or there may be other concerns about the operations of a CFUG and related CFE. The CFUG may, in some cases, be able to resolve local complaints but in other cases will act as a conduit for referral of complaints to village head/s or religious leaders (Buddhist Monks, Priest etc.) as per their traditional or communal practices of grievance redress. These will be mainly for complaints that can be addressed within communities. If the complaints are not addressed within communities such as encroachment of CF areas from outsiders, such cases will be directed to the managing unit at the FD Township level. CFUG management will maintain records of any such grievances received and referrals made. Each project CFUG will be required to establish a GRM within an agreed timeframe since the situation of each CFUG may vary significantly. For example, for new CFUGs it will be possible to establish new GRM as part of the planning and approval process. Existing CFUGs may need to develop such mechanisms retroactively.

Protected Area Management Authorities.

To the extent that the project supports activities such as eco-tourism, boundary demarcation or infrastructure within the context of an existing PA Plan, PA management authorities will establish GRM directly related to those activities. Prior to the commencement of any project supported activity in a Protected Area, each site-specific PA management authority will establish and make publicly available, the following information to project affected stakeholders:

Name of designated staff member(s) responsible for GRM

Mailing address or location of office where written or oral submissions can be made

Phone number of GRM office (hotline)

Website or social media sites where complaints or grievance can be raised

Information about the existence of the grievance redress mechanism shall be made readily available to all of the community members, employees, workers through notice boards together with the contact information for raising the complaints so that they all are aware of the GRM objective and its operation system. In staff induction trainings also, the workers will be explained well about GRM mechanism.

Recording the grievances and complaints and acknowledgement of the receipt of the complaints and grievances to the stakeholders who raised them.
When a complaint is received, it will be registered in GRM registration and resolution book within 24 hours of receiving and then, the affected stakeholders and communities will be communicated immediately to inform about the receipt of the complaints/ grievances. A suggested format for a grievance register is provided in Annex 1 to this SEP.

Investigations on the complaints and grievances

Once the complaints are received, GRC will begin an investigation within 5 business days after initial to gather the evidence on the case and to make necessary determinations. In the majority of cases, the findings of the investigations and status of corrective measures, if any, should be communicated to complainants within 10 business days of investigations and shall be recorded in GRM registration and resolution books together with the following records: (i) Date of proposed corrective action informed to PAPs; (ii) the method of corrective measures. In more complex cases, additional time may be required to complete an investigation and make a determination of corrective measures, if needed. In such cases where normal turn-around times cannot be complied with, the authority handling the complaint shall notify the FD PMU at the national level.

Resolution and Closure

When PAPs accept the resolution measures, PAPs will be required to sign in the closure form as attached. Two members of GRC members are also required to sign in this form to signify that the grievances and complaints are fully addressed and closed.
Appeal Processes

When complainants are not satisfied with the resolution of a grievance, or if corrective measures are not satisfactory, Complainants will have the option to refer the case advised to raise the complaints to the

relevant higher level in the GRM hierarchy. For example, if contractors are not able to resolve local complaints, such complaints would be forwarded to the responsible contract management authority (e.g., Township FD, PA management authority, PMU etc.)

In extreme cases, if dispute resolution or corrective actions are not satisfactory satisfied in PMU level, the appeals can be pursued through legal actions in Civil Court. In all cases where complaints or grievances are not resolved, the FD and MONREC shall report such cases to the World Bank Task team. See Figure 6-1 for a schematic representation of the appeal process.

World Bank Grievance Redress Service

Communities and individuals who believe that they are adversely affected as a result of a Bank supported operation, as defined by the applicable policy and procedures, may submit complaints to the existing program grievance redress mechanism or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address pertinent concerns. Affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond.

For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit http://www.worldbank.org/GRS.

For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.
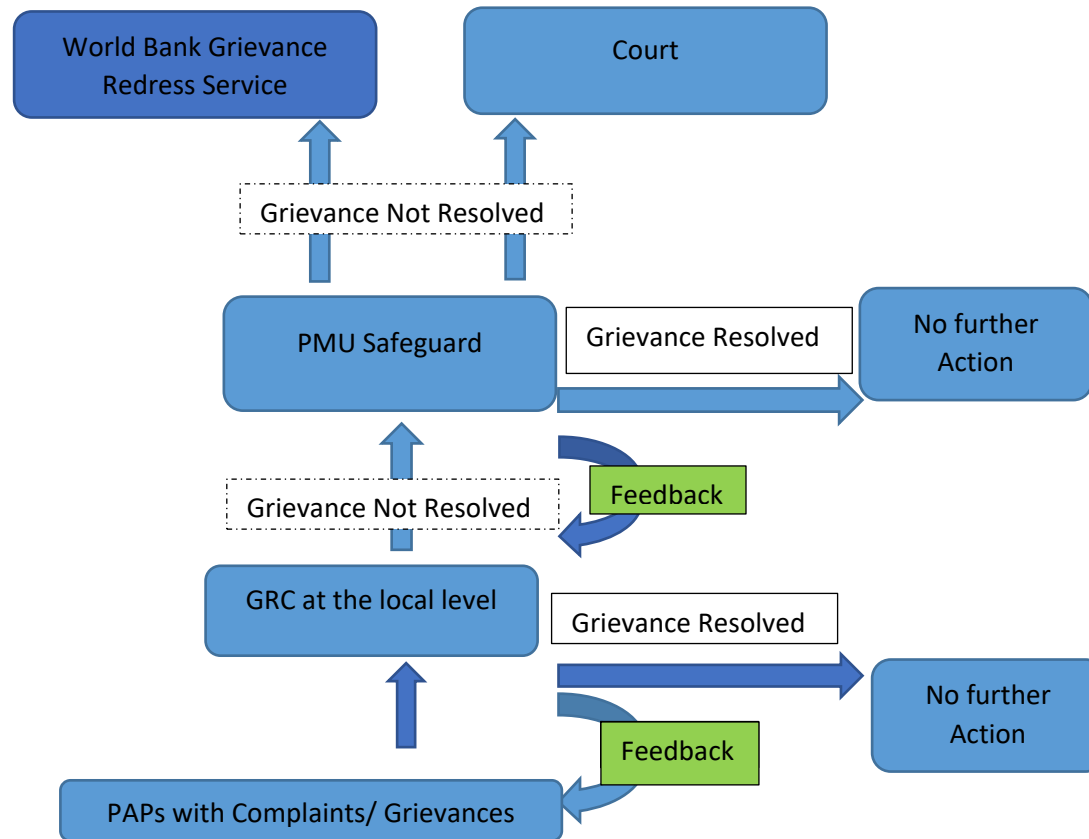
Figure 6.1: Process of Institutional Arrangements for GRM

7. Monitoring and Reporting

In accordance with the ESMF and applicable ESMPs, periodic Environmental and Social Monitoring will be conducted by PMU Safeguards staff at the local level with the supervision of PMU safeguard team. Periodic reports will be submitted to the World Bank Task Team by the PMU safeguards staff regularly. Quarterly (during first year of project implementation) and Semi-Annual Environmental and Social Monitoring Reports will be posted on the FD's website and will be made available at the township level General Administrative Departments for reporting to PAPs. A section on stakeholder engagement will be included in the periodic E&S compliance reports.

7.1. Involvement of stakeholders in monitoring activities

The Project may provide several opportunities to stakeholders, especially Project Affected Parties to monitor certain aspects of Project performance and provide feedback. Grievance Resolution Committees will allow PAPs to submit grievances and other types of feedback. Citizen/PAP surveys at the project mid-point and end stages will also allow PAPs to provide feedback on project performance. Furthermore, frequent and regular community meetings and interactions with project staff, especially PIU social safeguard specialist, will allow PAPs and other local stakeholders to be heard and engaged.

7.2. Reporting back to stakeholder groups

A number of ESF Key Performance Indicators (KPIs) will also be monitored by the project on a regular basis, including the following parameters: Numbers of Grievances received within a reporting period (e.g. monthly, quarterly, or annually), Number of grievance resolved within the prescribed timeline and the ways of resolving the complaints/ grievances.

Monthly summaries and internal reports on public grievances, enquiries and related incidents, together with the status of implementation of associated corrective/preventative actions will be collated by responsible staff and referred to the senior management of the project.

Annex 1. Summary of consultations

Table 1.2.: A-1: Summary of the consultations during preparation, discussions and issues raised

The table below covers in detail the most recent consultations on the project that took place over a number of weeks in September 2020.

Event	Type of Participants	No of participants	Discussion points	Issue Raised
Meeting with Hnaw Pin Pyant CF in Sagaing Region	CF members, non CF members, poor, ethnic minorities,,[7] elderly persons, village administrators	13	Socio Economic Condition, Forest access, Forest use, forest management	Majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they have difficulty in timely managing of CF according to CF management plan.
Meeting with Ma U Taung CF in Sagaing Region	CF members, non CF members, poor, ethnic minorities, elderly persons, village administrators	7	Socio Economic Condition, Forest access, Forest use, forest management of CF and non-CF communities, ethnic minorities and marginal people	Majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they have difficulty in timely managing of CF according to CF management plan.
Meeting with Pa Dauk Ngote CF in Magway Region	CF members, non CF members, poor, ethnic minorities, elderly persons, village administrators	16	Socio Economic Condition, Forest access, Forest use, forest management of CF and non-CF communities, ethnic	Majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they have difficulty in timely managing of CF according to CF management plan.

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[7] For additional information on the procedures and approach for ethnic groups please see Annex 13 Community Participation and Planning Framework (CPPF) of the project ESMF.

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			minorities and marginal people	
Meeting with Bawt CF in Magway Region	CF members, non CF members, poor, ethnic minorities, elderly persons, village administrators	18	Socio Economic Condition, Forest access, Forest use, forest management of CF and non CF communities, ethnic minorities and marginal people	Majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they have difficulty in timely managing of CF according to CF management plan.
Meeting with Shwe Daung Ngwe Daung CF in Bago Region	CF members, non CF members, poor, ethnic minorities, elderly persons, village administrators	9	Socio Economic Condition, Forest access, Forest use, forest management of CF and non CF communities, ethnic minorities and marginal people	Majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they have difficulty in timely managing of CF according to CF management plan.

This CFUG tried to produce bamboo based value added products, but due to lack of market linkages and lack of the fund, it was stopped within few months.

Local market is not suitable to sell their forest products. |
| Meeting with Border CF in Bago Region | CF members, non CF members, poor, ethnic minorities, elderly persons, village administrators | 5 | Socio Economic Condition, Forest access, Forest use, forest management of CF and non CF communities, ethnic minorities, women and marginal people | Majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they have difficulty in timely managing of CF according to CF management plan. |

Event	Type of Participants	No of participants	Discussion points	Issue Raised
Meeting with Wa Kone CF in Ayeyarwaddy Region	CF members, non CF members, poor, ethnic minorities, elderly persons, village administrators	17	Socio Economic Condition, Forest access, Forest use, forest management of CF and non CF communities, ethnic minorities, women and marginal people	Majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they have difficulty in timely managing of CF according to CF management plan.
Meeting with Ka Nyin Kone CF in Ayeyarwaddy Region	CF members, non CF members, poor, ethnic minorities, elderly persons, village administrators	17	Socio Economic Condition, Forest access, Forest use, forest management of CF and non CF communities, ethnic minorities, women and marginal people	Majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they have difficulty in timely managing of CF according to CF management plan.
Meeting with Oak Pho CF in Ayeyarwaddy Region	CF members, non CF members, poor, ethnic minorities, elderly persons, village administrators	19	Socio Economic Condition, Forest access, Forest use, forest management of CF and non CF communities, ethnic minorities, women and marginal people	Majority of the CFUG members are poor and they have been struggling for daily livelihood. Hence, they have difficulty in timely managing of CF according to CF management plan.
Meeting with Protected Area village in Sagaing Region	Community group including community people, disabled, village administrator	3	Socio Economic Condition, Forest access, Forest use, forest management of community people including ethnic	The community depend mostly on agricultural farming and extracts forest products for home consumption from forest areas outside of PA. 85 percent of households have agricultural land ownership (Form 7[8]).

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[8] Form 7 is a common name for a Land Use Certificate in Myanmar.

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			minorities women and marginal people	
Meeting with Protected Area village in Magway Region	Community group including elderly persons, poor, ethnic minorities, village administrators	11	Socio Economic Condition, Forest access, Forest use, forest management of community people including ethnic minorities women and marginal people	The community has received awareness raising talk from PA staff and understand that harvesting of forest products and hunting (without license) in PAs are illegal. However, given reduced agricultural productivity, their livelihood depends heavily on collection of forests and NTFP from PAs for home consumption and subsistence sale. The livelihood of majority of the villagers are not stable and safe. • Poor road infrastructure to transport the forest products in rainy season
Meeting with Sein Lai Myaing CSO based in Bago Region	One Member of Sein Lai Myaing CSO	1	• Coordination activities with Forest Department • Support for CF establishment to CGUGs • Opinion on the requirement of community groups regarding with sustainable forest management • Opinion on requirement of forest	• Less participation of women in CF activities due to men favored culture, women' household works • Some community groups are not yet aware of their right to develop the CF and their right to ownership of those CFs • Un-proportional of area of cleared land to actual growing land in shifting cultivation • None of customary forest management is practiced

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			departments regarding with sustainable forest management • Opinion on drivers of unsustainable forest management • Opinion on participation of women in CF activities • Experience with shifting cultivation	• Limited staffs in Forest Departments • Establishment of specialized zones that emphasize on production of value added forest products is essential for stable livelihood of shifting cultivators • Short duration plants should be considered to plant in such specialized zone for fast generation of income to shifting cultivators. • Exploitation of ownership rights by some bamboo CFs: • Some private sector applied the bamboo CF from FD and then, extracted a lot of bamboo ignoring the concept of conserving the bamboo CFs • Selling of CFs to private sector by CFUGs • Participation of community is important in controlling illegal logging of forest products • More incentives should be provided to community groups for more participation in forest conservation and management

Event	Type of Participants	No of participants	Discussion points	Issue Raised
				• Negotiation with encroached community is still challenging for land acquisition in the matter of establishing CF.
Meeting with GEDA CSO	Chairmen of GEDA CSO	1	• Coordination activities with Forest Department • Support for CF establishment to CGUGs • Opinion on the requirement of community groups regarding with sustainable forest management • Opinion on requirement of forest departments regarding with sustainable forest management • Opinion on drivers of unsustainable forest management • Opinion on participation of	• Development of government led forest plantations and broad implementation of CF activities are important action for forest departments in sustainable forest management. • Forest Departments shall have to consider encouraging of the community people to plant trees as an option to replace the fire wood collection from forests and to replace the wood requirement from the forests • Poor interest of community people in sustainable forest management • Women participation in capacity building activities is weak compared with men. • In decision making, men get more seats than women. • Ethnic minorities people are more interested and more active in CF activities than Bamar ethnic people

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			women in CF activities • Experience with shifting cultivation	• Equal opportunities received among CF members- same to both of Bamar ethnic people and other minority ethnic people • No impact observed to ethnic minorities due to CF establishments
Meeting with Popa Lover Association	One member of Popa Lover Association	1	• Coordination activities with Forest Department • Support for CF establishment to CGUGs • Opinion on the requirement of community groups regarding with sustainable forest management • Opinion on requirement of forest departments regarding with sustainable forest management • Opinion on drivers of unsustainable forest management	• Forest Departments need to make aware of forest laws and regulations by community people for their compliance on forest rules and regulations in conservation of forests • Coordination between government departments are weak resulting in taking long time in land acquisition for CF establishments. • Uneven distribution of fire wood from village based fire wood plantations caused limited availability of the fire wood among local community members • Lack of electricity support cause more reliance on forest products • Deforestation happened due to commercial agricultural expansion

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			• Opinion on participation of women in CF activities • Experience with shifting cultivation	
Meeting with Friend of Wildlife (FOW) NGO	Representatives from FOW NGO -one Senior Advisor -one Executive Director -one Senior Project Officer	3	• Coordination activities with Forest Department • Support for CF establishment to CGUGs • Opinion on the requirement of community groups regarding with sustainable forest management • Opinion on requirement of forest departments regarding with sustainable forest management	• Agricultural expansion, ,human population increase, inability of the forest departments to support the basic needs of forest products for community people,, cattle grazing, hunting, and forest fires are the major factors causing the unsustainable forest management. • Low educational level and lack of awareness of majority of community people, lack of employment opportunities, poor law enforcement, unfollow of the rules and regulations, poor coordination among the government departments, very little projects for protected area management, insufficient staffs and low budget, corruption are also important factors to be considered in sustainable forest management.

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			• Opinion on drivers of unsustainable forest management • Opinion on participation of women in CF activities • Experience with shifting cultivation	
Meeting with Sagaing FD	FD officials from Regional Level and township level	3	• FD's contribution to rehabilitation, reforestation, afforestation and pro-forestation • Opinion on economic activities which affect the forests • Important points to consider for sustainable forest conservation • Support of FD for CF establishment and management	• Commercial activities that affect the forest in Sagaing Region are mining, oil drilling (extraction of crude oil), and illegal logging. • Public participation is important for conservation of forest • Conservation of natural streams and watershed areas are important for sustainable forest conservation • Shortage of staffs for campaigning about CF. • Forest Departments do not have budget enough for strengthening and broad implementation of forest management activities

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			• The functions of forest department needs strengthening • FD's technical capacity, financial/human resources to assess and manage risks and impacts	• No experience on environmental and social safeguard in township, district and regional Forest Departments • No staffs received of the knowledge regarding with environmental and social management • No difficulty in accessing of the forest and forest products by non-CF members, vulnerable people, and ethnic minorities due CF establishments • No difficulty in accessing the cultural heritages by non-CF members, vulnerable people and ethnic minorities due to CF establishments • No assignment of staffs regarding with environmental and social safeguard in Forest Departments (township, district, regional levels
Meeting with Magway FD	FD officials from Regional Level and township level	4	• FD's contribution to rehabilitation, reforestation, afforestation and pro-forestation	• Agriculture expansion and illegal logging are drivers of deforestation. • Community participation is important in forest conservation.

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			• Opinion on economic activities which affect the forests • Important points to consider for sustainable forest conservation • Support of FD for CF establishment and management • The functions of forest department needs strengthening • FD's technical capacity, financial/human resources to assess and manage risks and impacts	• Unfollow of the stipulated rules and regulations regarding with the forest products production • Weak law enforcement • Limited job opportunities to sustainable forest management • Non timber forest products (charcoal and fuel wood) is high and electricity supply is essential for forest conservation • Value added production with high profit potentials and development of industries are essential to reduce the reliance of community members on forest products for their livelihood. • Shifting cultivation should be replaced by creation of sustainable income generation activities. • -Facility support and cost support are required for FD staffs for implementation of CF activities effectively and efficiently • Provision of extension trainings is required for FD staffs to improve their

Event	Type of Participants	No of participants	Discussion points	Issue Raised
				capacity in mobilization which can enhance approaching to community
				• Due to the poor approaches of some NGO staffs, some CFUG members have wrong mindset in receiving the fund for CF management.
				• Fund policies should be well developed to control the misuse of the revolving funds in CFUGs.
				• Production of value added products should be based on locally easily available raw materials and it should not require equipment that are difficult to access in local conditions.
				• Value added products should be locally demanded and it should not be targeted to reach the markets which are difficult for local community to access.
				• No experience on environmental and social safeguards
Meeting with Bago FD	FD officials from Regional Level and township level	3	• FD's contribution to rehabilitation, reforestation, afforestation and pro-forestation	• Community participation is important to conserve the forest • Income opportunities and employment opportunities are essential to develop to sustain the

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			• Opinion on economic activities which affect the forests • Important points to consider for sustainable forest conservation • Support of FD for CF establishment and management • The functions of forest department needs strengthening • FD's technical capacity, financial/human resources to assess and manage risks and impacts	forest conservation and to reduce the reliance on the forest • Marketing linkages are essential to develop between CF Enterprises and the market buyers for sustainable management of CFs. In NGO support projects, it is weak and cannot support well. • In CF establishment, growing of short duration varieties shall be considered for getting the income for CFUGs in the short period • Government FDs cannot support for the planting cost and maintenance cost of CF plantation activities. NGO support for that cost to CFUG is essential to get involvement of the community in CF management activities. • No experience on environmental and social safeguard
Meeting with Ayeyarwaddy FD	FD officials from Regional Level and township level	3	• FD's contribution to rehabilitation, reforestation, afforestation and pro-forestation	• Commercial activities that affect the forest are furniture business, expansion of onshore farming, expansion of farmlands, cutting fire wood for cooking, and expansion of shrimp and fish ponds

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			• Opinion on economic activities which affect the forests • Important points to consider for sustainable forest conservation • Support of FD for CF establishment and management • The functions of forest department needs strengthening • FD's technical capacity, financial/human resources to assess and manage risks and impacts	• Lack of the alternative livelihood opportunities such as employment opportunities in industry and business is the reason of heavy reliance by community people on forest products for their livelihood. • Lack of electricity is one of the drivers for deforestation since community people have to rely on forest for fire wood. Wood burning concrete stove would be an effective option to reduce the fire wood consumption. • Establishment of Mangrove forests should be encouraged to establish shrimp farming inside it and to conserve the forests. • Ethnic minorities are more interested in CF activities and more active. • Both of major ethnic people and minority ethnic people get equal access to forest and forest products. • There is no effect on ethnic minorities due to CF establishment. • Forest Department cannot reach to the targeted milestones for CF

Event	Type of Participants	No of participants	Discussion points	Issue Raised
				establishment in every year since the local people are struggling for their livelihood and due to poor concentration to be able to join in CF activities. • No experience on environmental and social safeguard • No staffs received of the knowledge regarding with environmental and social management • No difficulty in accessing of the forest and forest products by non CF members, vulnerable people, and ethnic minorities due CF establishments • No difficulty in accessing the cultural heritages by non-CF members, vulnerable people and ethnic minorities due to CF establishments • No assignment of staffs regarding with environmental and social safeguard in Forest Departments (township, district, regional levels)
Meeting with PA Ranger from Chat Thin Protected Area of Sagaing Region	3 PA ranger from Chat Thin Wildlife Sancturay Area	3	• Collaboration with NGOs and CSOs for protect area	• Very limited staffs for conserving of the protected area • Employment of community rangers would be a good option for effective

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			conservation and management	patrolling of PAs and for creating employment opportunities for local communities
			• Inhabitants the protected area conservation	• Less participation of community is the main inhabitant in protection of protected area.
			• improved to conserve the protected forests	• Not following of the stipulated rules and regulations by local communities in extracting the forest products
			• Economic activities which are detrimental to forests in the protected area	• Farming of encroached communities who had been displaced due to Dam development is big inhabitant in protected area conservation.
			• Occurrence of Inconveniences to the local community by boundary demarcation and signage in PAs	• Demarcation is disliked by the local communities whose livelihoods are rely on forest products. They destroy demarcation signboards and poles. After providing the awareness activities, such destructions had been significantly reduced to 40%, but destructions are still present.
			• Potential eco-tourisms activities in PAs	• Infrastructure is good enough in Chat That protected area in terms of road infrastructure and buildings for visitors
			• Experiences of dealing with ethnic minorities	• Facilities for patrolling and equipment are enough due to NGO support.

Event	Type of Participants	No of participants	Discussion points	Issue Raised
				However, maintenance cost of motorbike and petrol cost for patrolling are still difficult for PA Rangers. • Chat Thin protected area is potential for making activities such as bird watching, motorbike riding, walking around the area etc. • Ethnic minorities who rely on forest products are reluctant to start a new livelihood though they are provided the opportunities • States in Myanmar are normally ethnic minority influenced areas. In such areas, ethnic minorities want to manage the forest areas with their own discipline and management. In protected areas too, PA Rangers are not allowed to enter and make PA management activities in PAs. Therefore, PA Rangers face in difficulty in managing of the protected areas.
Meeting with PA Rangers from Shwe Set Taw Wildlife Sancturay area of Magway Region	PA Ranger from Shwe Set Taw wildlife Sanctuary Area	2	• Collaboration with NGOs and CSOs for protect area	• Very limited staffs for conservation of the protected area

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			conservation and management	• Lack of the facility support for patrolling (for example- motorbike)
			• Inhabitants the protected area conservation	• Weak facility support (such as low-quality cameras for capturing the photos in PAs)
			• improved to conserve the protected forests	• Only small inconveniences happen to local communities by demarcation of protected area since only small amount of people obey the rules and regulations
			• Economic activities which are detrimental to forests in the protected area	• Many ecotourism potentials are present in protected area such as bird watching activities, golden dear and star turtle watching activities etc. Road infrastructure is good enough to visit PA in summer season.
			• Occurrence of Inconveniences to the local community by boundary demarcation and signage in PAs	• Ethnic minorities rely on forest products received from Protected area for their income
			• Potential eco-tourisms activities in PAs	

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			• Experiences of dealing with ethnic minorities	
Meeting with private plantation association	One EC member of private plantation Association	1	• Linkages between private association and CF enterprises • Support to CF enterprises • Support of association to forest products private producers • Coordination with international agencies/ international companies • Occupational health and safety measures applied in private sector • Availability of raw materials for processing	**Challenges faced by private plantations** Long administrative procedure for getting approval of land acquisition Red tape process in other administrative process of private plantation implementations Encroachment of farming households in private plantations Majority of the plantations are small scale and hence, they cannot produce enough quantity of timber to be able to export and they lost the opportunity to supply to the international buyers Lack of financial access for private plantations Lack of the timber legality certificate to export Requirement of private plantations High technology concerned with control of pest and diseases

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			• Status of production of value added products and distribution • Role of the women in wood processing, marketing, harvesting of forest products • Challenges for micro, small- and medium-scale forest-related enterprises	Technical know how to conduct yield survey for yield calculation Drone technology GIS technology Methods to maintain the quality of timber in long years The support to conduct the researches which test the adaptability of the technology to the local conditions <u>Challenges of wood based industries</u> - Poor infrastructure for transporting - Shortage of electricity -Limited availability of regular supply of raw materials -Technical know how Investment -Expensive land to develop the processing factories
Meeting with Myanmar Rattan and Bamboo Enterprise Association (MRBEA)	Patron from MRBEA	1	• Linkages between private association and CF enterprises • Support to CF enterprises • Support of association to forest products private producers	• Community forest enterprises are not aware of business knowledge what to produce and how to produce. • MRBEA is linking between community forest enterprises and the market. • MREBA support for skill development of community and related stakeholders and supports the small

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			• Coordination with international agencies/ international companies • Occupational health and safety measures applied in private sector • Availability of raw materials for processing • Status of production of value added products and distribution • Role of the women in wood processing, marketing, harvesting of forest products • Challenges for micro, small- and medium-scale forest-related enterprises	machines to be able to produce value added products

Event	Type of Participants	No of participants	Discussion points	Issue Raised
Meeting with JZ MMZ paper company	One Director and two General Managers	3	• Occupational health and safety measures applied in private sector • Availability of raw materials for processing • Status of production of value added products and distribution • Role of the women in wood processing, marketing, harvesting of forest products • Challenges for micro, small- and medium-scale forest-related enterprises	• Women involvement in nursery activities about 70%, and in plantation activities about 30% • Challenges include: -Loan for project funds -Lack of Scientific plantation management plan development -Local laws and rules are not supported -Insufficient raw materials -Lack of joint forest management within all stakeholders
Meeting with Pounamu Bamboo company	One Operation Director	1	• Occupational health and safety measures applied in private sector	• To get the permit from Forest Department for transporting of the bamboo takes long time and consist of many red tape procedures.

Event	Type of Participants	No of participants	Discussion points	Issue Raised
			• Availability of raw materials for processing • Status of production of value added products and distribution • Role of the women in wood processing, marketing, harvesting of forest products • Challenges for micro, small- and medium-scale forest-related enterprises	• Private sector do not get raw materials – bamboo in enough quantity. • 90% of the employees working in bamboo treatment processing is women.

Table 1.2.: Summary of consultations that fed inputs into the project design and its environmental and social risk documents

Event and date	Type of Participants	No of participants	Discussion points	Issue Raised
Multistakeholder consultation workshop for Forest Tenure Assessment in Mandalay (for States and Regions in	Forest Department and line government at local level, and NGOs/ CSOs active in forest and related	89	Offered an outline and a point of departure for consultative dialogues and discussions on customary forest tenure, and related land issues and conflicts	The assessment demonstrates that protection and recognition of forest tenure rights is critical if forest-dependent communities are to play an increasingly important role in forest and biodiversity

upper Myanmar: Mandalay, Magway, Shan, Sagaing, Chin, Kayah) November 2019	natural resource sector			preservation. The assessment also recognizes some pro-people and pro-reforms work done by the GoM and its agencies. Most importantly, the government and other stakeholders should recognize the role of the community in protection and management of national forests.
Multistakeholder consultation workshop for Forest Tenure Assessment in Bago (with representatives for States and Regions in lower Myanmar: Bago, Yangon, Ayeyawaddy, Tanintharyi, Rakhine, Kayin, Mon) December 2019	Forest Department and line government at local level, and NGOs/CSOs active in forest and related natural resource sector	65	Offered an outline and a point of departure for consultative dialogues and discussions on customary forest tenure, and related land issues and conflicts	To address the above-mentioned challenges, the assessment concludes with the following recommendations for government, civil society, and development partners, urging all actors to involve local and ethnic communities in all processes: - Adopt and enforce a comprehensive policy and legal framework as the first and critical step in reforming forest tenure. - Mainstream forest tenure of local and ethnic communities.
National Multi-Stakeholders' Consultations and Validation Workshop for Forest Tenure Assessment in Nay Pyi Taw. February 2020	Forest Department and line government at local level, and CSOs active in forest and related natural resource sector	98	A concise summary of the preliminary findings and conclusions/recommendations based on inputs from the two States/Regions' workshops, along with literature review and bilateral interviews, was presented and validated. A road map for policy dialogue was prepared.	- Engage all stakeholders and political leadership in the implementation of forest tenure reforms, to ease the shift from isolated measures to coordinated governance strategies. - Improve local capacities (of government, community and civil society actors) to gather information on forest land holding patterns and socio-cultural factors affecting them. - Sufficient information must be gathered on pre-existing use and ownership conditions.

Community Forestry Workshop in Forest Department, Nay Pyi Taw December 2019	Key CF practitioners, related department agencies, NGOs/CSOs, development partners and CFUGs Stakeholders' concerns, suggestions and recommendations were directly integrated into preparation of FREDIP.	71	Reviewed and discussing key challenges and issues in terms of CF/CFE operations and related environmental and social risk aspects	Key challenges and issues in terms of CF/CFE operations and related environmental and social risk aspects were discussed. Activities to be supported under the FREDIP were prioritized.
Workshop on incentivizing private plantation development in Nay Pyi Taw December 2019	Private companies, private sector associations, and concerned government agencies in the forest production sector	98	Discussed considerations for incentivizing private plantation development, constraints and barriers	Considerations for incentivizing private plantation development, constraints and barriers were discussed. Activities to be supported under the FREDIP were prioritized.

Annex 2. The Grievance Register

The following table will need to be prepared and completed by the GRM designated officer responsible for maintaining the register, when a complaint comes in and at each stage of resolution or rejection. To understand the use of the register, and each of its columns, the following is the definition of each column:

- **Grievance Registration No.**: this column will be a code reference, which can be used as an identifier and marked on all correspondence and consultations used in the resolution of the complaint but fitting with the PMU office administration QA system.
- **Date:** when the grievance was first submitted.
- **Name**: Provide name of Complainant. If they choose not to provide name, this is also acceptable, but identify as such.
- **Address**: of complainant
- **Contact No.**: Phone number of the complainant so that further discussions can be made, and resolution is satisfactory verified
- **Gender** – is the complainant male or female
- **Description of Grievance** – provide a brief description of the complaint
- **Name of person who took grievance**: who took/accepted the grievance from the complainant.
- **Type of grievance -** category Environmental; Social-Resettlement; other etc.
- **Directed to**? – this will be changing but starting with the grievance being given to a GRM designated officer responsible as the start of resolution; this will change if the complaint needs decision from Community level, FD Project Management, or other levels of Grievance, legal system or other agency.
- **Status of resolution** – resolved or not – also provide date in this column.
- **If resolved, state resolution -** When a resolution is agreed with Complainant, a brief description on what the resolution activity is, signed off by the complainant (no sign off in the case of anonymous complaints).

The FD PMU designated officer will keep a folder in the office in which all grievances and subsequent materials should be filed. A summary of all project grievances, with their status, will be included in regular E&S reports submitted by the FD to the World Bank. An audit of these complaints shall take place at the time of each project progress monitoring reporting to the World Bank.

It is important that the FD district/township representatives and PMU level follows up on each complaint to make sure it is being dealt with in accordance within the specified timeframe of the Grievance Redress Mechanism and ensure the complainant is notified regularly of the progress of complaints resolution.

Annex 3: Technical Note: Public Consultations and Stakeholder Engagement in WB-supported operations when there are constraints on conducting public meetings March 20, 2020

With the outbreak and spread of COVID-19, people have been advised, or may be mandated by national or local law, to exercise social distancing, and specifically to avoid public gatherings to prevent and reduce the risk of the virus transmission. Countries have taken various restrictive measures, some imposing strict restrictions on public gatherings, meetings and people's movement, and others advising against public group events. At the same time, the general public has become increasingly aware and concerned about the risks of transmission, particularly through social interactions at large gatherings.

These restrictions have implications for World Bank-supported operations. In particular, they will affect Bank requirements for public consultation and stakeholder engagement in projects, both under implementation and preparation. WHO has issued technical guidance in dealing with COVID-19, including: (i) Risk Communication and Community Engagement (RCCE) Action Plan Guidance Preparedness and Response; (ii) Risk Communication and Community engagement (RCCE) readiness and response; (iii) COVID-19 risk communication package for healthcare facilities; (iv) Getting your workplace ready for COVID-19; and (v) a guide to preventing and addressing social stigma associated with COVID-19. All these documents are

available on the WHO website through the following link:
https://www.who.int/emergencies/diseases/novel-coronavirus-2019/technical-guidance.

This Note offers suggestions to World Bank task teams for advising counterpart agencies on managing public consultation and stakeholder engagement in their projects, with the recognition that the situation is developing rapidly and careful regard needs to be given to national requirements and any updated guidance issued by WHO. It is important that the alternative ways of managing consultation and stakeholder engagement discussed with clients are in accordance with the local applicable laws and policies, especially those related to media and communication. The suggestions set out below are subject to confirmation that they are in accordance with existing laws and regulations applying to the project.

Investment projects under implementation. All projects under implementation are likely to have public consultation and stakeholder engagement activities planned and committed as part of project design. These activities may be described in different project documents, and will involve a variety of stakeholders. Commonly planned avenues of such engagement are public hearings, community meetings, focus group discussions, field surveys and individual interviews. With growing concern about the risk of virus spread, there is an urgent need to adjust the approach and methodology for continuing stakeholder consultation and engagement. Taking into account the importance of confirming compliance with national law requirements, below are some suggestions for task teams' consideration while advising their clients:

Task teams will need to review their project, jointly with the PMUs, and should:

• Identify and review planned activities under the project requiring stakeholder engagement and public consultations.

• Assess the level of proposed direct engagement with stakeholders, including location and size of proposed gatherings, frequency of engagement, categories of stakeholders (international, national, local) etc.

• Assess the level of risks of the virus transmission for these engagements, and how restrictions that are in effect in the country / project area would affect these engagements.

• Identify project activities for which consultation/engagement is critical and cannot be postponed without having significant impact on project timelines. For example, selection of resettlement options by affected people during project implementation. Reflecting the specific activity, consider viable means of achieving the necessary input from stakeholders (see further below).

• Assess the level of ICT penetration among key stakeholder groups, to identify the type of communication channels that can be effectively used in the project context.

Based on the above, task teams should discuss and agree with PMUs the specific channels of communication that should be used while conducting stakeholder consultation and engagement activities. The following are some considerations while selecting channels of communication, in light of the current COVID-19 situation:

• Avoid public gatherings (taking into account national restrictions), including public hearings, workshops and community meetings;

• If smaller meetings are permitted, conduct consultations in small-group sessions, such as focus group meetings If not permitted, make all reasonable efforts to conduct meetings through online channels, including webex, zoom and skype;

• Diversify means of communication and rely more on social media and online channels. Where possible and appropriate, create dedicated online platforms and chatgroups appropriate for the purpose, based on the type and category of stakeholders;

• Employ traditional channels of communications (TV, newspaper, radio, dedicated phone-lines, and mail) when stakeholders to do not have access to online channels or do not use them frequently. Traditional channels can also be highly effective in conveying relevant information to stakeholders, and allow them to provide their feedback and suggestions;

• Where direct engagement with project affected people or beneficiaries is necessary, such as would be the case for Resettlement Action Plans or Indigenous Peoples Plans preparation and implementation, identify channels for direct communication with each

affected household via a context specific combination of email messages, mail, online platforms, dedicated phone lines with knowledgeable operators;

• Each of the proposed channels of engagement should clearly specify how feedback and suggestions can be provided by stakeholders;

• An appropriate approach to conducting stakeholder engagement can be developed in most contexts and situations. However, in situations where none of the above means of communication are considered adequate for required consultations with stakeholders, the team should discuss with the PMU whether the project activity can be rescheduled to a later time, when meaningful stakeholder engagement is possible. Where it is not possible to postpone the activity (such as in the case of ongoing resettlement) or where the postponement is likely to be for more than a few weeks, the task team should consult with the OESRC to obtain advice and guidance.

Investment projects under preparation. Where projects are under preparation and stakeholder engagement is about to commence or is ongoing, such as in the project E&S planning process, stakeholder consultation and engagement activities should not be deferred, but rather designed to be fit for purpose to ensure effective and meaningful consultations to meet project and stakeholder needs. Some suggestions for advising clients on stakeholder engagement in such situations are given below. These suggestions are subject to the coronavirus situation in country, and restrictions put in place by governments. The task team and the PMU should:

• Review the country COVID-19 spread situation in the project area, and the restrictions put in place by the government to contain virus spread;

• Review the draft Stakeholder Engagement Plan (SEP, if it exists) or other agreed stakeholder engagement arrangements, particularly the approach, methods and forms of engagement proposed, and assess the associated potential risks of virus transmission in conducting various engagement activities;

• Be sure that all task team and PIU members articulate and express their understandings on social behavior and good hygiene practices, and that any stakeholder engagement events be preceded with the procedure of articulating such hygienic practices.

• Avoid public gatherings (taking into account national restrictions), including public hearings, workshops and community meetings, and minimize direct interaction between project agencies and beneficiaries / affected people;

• If smaller meetings are permitted, conduct consultations in small-group sessions, such as focus group meetings. If not permitted, make all reasonable efforts to conduct meetings through online channels, including webex, zoom and skype meetings;

• Diversify means of communication and rely more on social media and online channels. Where possible and appropriate, create dedicated online platforms and chatgroups appropriate for the purpose, based on the type and category of stakeholders;

• Employ traditional channels of communications (TV, newspaper, radio, dedicated phone-lines, public announcements and mail) when stakeholders do not have access to online channels or do not use them frequently. Such channels can also be highly effective in conveying relevant information to stakeholders, and allow them to provide their feedback and suggestions;

• Employ online communication tools to design virtual workshops in situations where large meetings and workshops are essential, given the preparatory stage of the project. Webex, Skype, and in low ICT capacity situations, audio meetings, can be effective tools to design virtual workshops. The format of such workshops could include the following steps:

o *Virtual registration of participants*: Participants can register online through a dedicated platform.

o *Distribution of workshop materials to participants, including agenda, project documents, presentations, questionnaires and discussion topics*: These can be distributed online to participants.

o *Review of distributed information materials*: Participants are given a scheduled duration for this, prior to scheduling a discussion on the information provided.

o *Discussion, feedback collection and sharing*: Participants can be organized and assigned to different topic groups, teams or virtual "tables" provided they agree to this.

o Group, team and table discussions can be organized through social media means, such as webex, skype or zoom, or through written feedback in the form of an electronic questionnaire or feedback forms that can be emailed back.

o *Conclusion and summary:* The chair of the workshop will summarize the virtual workshop discussion, formulate conclusions and share electronically with all participants.

• In situations where online interaction is challenging, information can be disseminated through digital platform (where available) like Facebook, Twitter, WhatsApp groups, Project weblinks/ websites, and traditional means of communications (TV, newspaper, radio, phone calls and mails with clear description of mechanisms for providing feedback via mail and / or dedicated telephone lines. All channels of communication need to clearly specify how stakeholders can provide their feedback and suggestions.

• *Engagement with direct stakeholders for household surveys*: There may be planning activities that require direct stakeholder engagement, particularly in the field. One example is resettlement planning where surveys need to be conducted to ascertain socioeconomic status of affected people, take inventory of their affected assets, and facilitate discussions related to relocation and livelihood planning. Such survey activities require active participation of local stakeholders, particularly the potentially adversely affected communities. However, there may be situations involving indigenous communities, or other communities that may not have access to the digital platforms or means of communication, teams should develop specially tailored stakeholder engagement approaches that will be appropriate in the specific setting. The teams should reach out to the regional PMs for ENB and Social Development or to the ESSA for the respective region, in case they need additional support to develop such tailored approaches.

• In situations where it is determined that meaningful consultations that are critical to the conduct of a specific project activity cannot be conducted in spite of all reasonable efforts on the part of the client supported by the Bank, the task team should discuss with the client whether the proposed project activities can be postponed by a few weeks in view of the virus spread risks. This would depend on the COVID-19 situation in the country, and the government policy requirements to contain the virus spread. Where it is not possible to postpone the activity (such as in the case of ongoing resettlement) or where the postponement is likely to be for more than a few weeks, the task team should consult with the OESRC to obtain advice and guidance.

Annex 4. Notice of Invitation for Consultations

(a copy of the invitation letter, with personal information blacked out, to be included in the next version)