

Resettlement Plan

June 2014

VIE: Ha Noi and Ho Chi Minh City Power Grid Development Sector Project

(EVN HANOI: Chem-Tay Ho 220kV Transmission Line)

ABBREVIATIONS

ADB	Asian Development Bank
CARB	Compensation, Assistance and Resettlement Board
DCARB	District Compensation, Assistance and Resettlement Board
DMS	Detailed Measurement Survey
DPC	District People's Committee
EMA	External Monitoring Agency
EVN Hanoi	Ha Noi City Power Corporation
EVN	Electricity of Viet Nam
HNC	Ha Noi City
HPPMB	Ha Noi City Power Projects Management Board
IOL	Inventory of losses
km	kilometer
LURC	Land use rights certificate
PC	Power Corporation
PDP	Power Development Plan
PIB	Public information booklet
PIC	Project Implementation Consultant
CityPC	City People's Committee
RoW	Right-of-Way
SES	Socio-Economic Survey
SPS	Safeguard Policy Statement
VWU	Viet Nam Women's Union
WPC	Ward People's Committee

ELECTRICAL TERMINOLOGY

kV	(kilovolt)	-	1,000 volts
MW	(Megawatt)	-	1,000 kW
MVA	(Megavolt-ampere)	-	1,000 kVA
Transmission System		-	500 kV, 220 kV, 110 kV lines
Medium Voltage Distribution (MV)		-	35 kV, 22 kV or 10 kV lines supplying distribution substations
Low Voltage Distribution (LV)		-	400/230 V distribution and service lines
Load Factor		-	Ratio of average power demand to maximum power demand
Electrical Losses		-	Difference between energy delivered and energy sent out

REMARKS

In this report, "\$" refers to US dollars.

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DEFINITION OF TERMS

Affected persons	Refers to any person or persons, household, firms, or public or private institutions who on account of a development project would have their: (i) standard of living adversely affected; (ii) right, title or interest in all or any part of a house, land (including residential, commercial, agricultural, plantations, forest and/or grazing land), water resources or any other moveable or fixed assets acquired, possessed, restricted or otherwise adversely affected, in full or in part, permanently or temporarily; and/or (iii) business, occupation, place of work or residence, or habitat adversely affected, with or without displacement. affected persons therefore include: (i) persons affected directly by the right-of-way (RoW) or construction work area; (ii) persons whose agricultural land or other productive assets such as trees, standing crops are affected; (iii) persons whose businesses are affected and who might experience loss of income due to the project impact; (iv) persons who lose work/employment as a result of project impact; and (v) people who lose access to community resources/property as a result of the project.
Cut-off date	This refers to the date prior to which the occupation or use of the project area makes residents/users of the same eligible to be categorised as displaced person. In this project, the cut-off date will coincide with the period of the census of affected persons and the inventory of losses (IOL) that will be conducted based on feasibility design documents. Persons not covered in the census are not eligible for compensation and other entitlements, unless they can show proof that (i) they have been inadvertently missed out during the census and the IOL; or (ii) they have lawfully acquired the affected assets following completion of the census and the IOL and prior to the conduct of the detailed measurement survey (DMS).
Detailed Measurement Survey (DMS)	With the aid of the approved detailed engineering design, this activity involves the finalisation and/or validation of the results of the IOL, severity of impacts, and list of affected persons earlier done during resettlement plan preparation. The final cost of resettlement can be determined following completion of the DMS.
Displaced persons	Per ADB's 2009 Safeguard Policy Statement, displaced persons in a project area could be of three types: (i) persons with legal rights to land lost in its entirety or in part; (ii) persons who lost the land they occupy in its entirety or in part who have no formal legal rights to such land, but who have claims to such land that are recognised or recognisable under national laws; and (iii) persons who lost the land they occupy in its entirety or in part who have neither formal legal rights nor recognised or recognisable claims to such land.
Entitlements	Refers to a range of measures comprising compensation, income restoration

	support, transfer assistance, income substitution, relocation support, etc. which are due to the affected persons, depending on the type and severity of their losses, to restore their economic and social base.
Meaningful consultation	A process that (i) begins early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.
Inventory of losses	Is the process where all fixed assets (i.e., lands used for residence, commerce, agriculture, including ponds; dwelling units; stalls and shops; secondary structures, such as fences, tombs, wells; trees with commercial value; etc.) and sources of income and livelihood inside the project RoW are identified, measured, their owners identified, their exact location pinpointed, and their replacement costs calculated. Additionally, the severity of impact to the affected assets and the severity of impact to the livelihood and productive capacity of affected persons will be determined.
Land acquisition	Refers to the process whereby an individual, household, firm or private institution is compelled by a public agency to alienate all or part of the land it owns or possesses to the ownership and possession of that agency for public purposes in return for compensation at replacement costs.
Replacement cost	The term used to determine the value enough to replace affected assets and/or cover transaction costs necessary to replace the affected assets without depreciation for such assets as well as material advantage, taxes and/or travel expenses.

1.0. SUMMARY

1.1. Introduction

1. Chem-Tay Ho 220kV transmission line is built in order to (i) meet the electricity demands of the important loads in Hanoi area; (ii) supply electricity for Tay Ho 220/110kV substation, which is the main substation supplying electricity for the power loads in central districts of Hanoi; and (iii) reduce losses of capacity and electrical energy of the system, contributing to increase the production and business efficiency of the Electricity of Vietnam (EVN).
2. The subproject is implemented in three wards, namely Phu Thuong (Tay Ho District), Dong Ngac and Thuy Phuong (Bac Tu Liem District) of Hanoi City.
3. The subproject comprises four components, which are (i) overhead line; (ii) 220kV underground cable; (iii) Chem-Tay Ho 110kV underground cable; and (iv) Chem-Mai Dong 110kV underground cable.

1.2. Scope of land acquisition and resettlement

4. The total acquired land area for the subproject is 37,358 m². The subproject causes impacts on 155 households and 634 persons. The subproject will affect 18 houses including seven fourth-grade houses and 11 temporary houses. Impacts are also caused on trees and crops. No household has to relocate.
5. The temporarily affected land includes 37,153 m². All of which are annual crop land. These areas will be restored and returned right after the construction is finished.
6. Among the temporarily affected area above, there is land within the ROW and safety corridor of the substation. For this area, people can still use to plant crops; houses are allowed to exist within the ROW in accordance with the ROW safety regulations. However, if trees affect the electricity safety, they will be cut down and some types of trees are only allowed when their branches are trimmed and height is limited. Particularly, as for the area within the ROW of underground cable, it is not allowed to grow trees and build houses and structures.
7. 605 m² belonging to 19 households will be affected permanently. All of these areas is also annual crop land.
8. Some public structures will be affected by the subproject. The main impacts are on 30,000 m² under the management of the CPCs/WPCs, 3,000m² of pond land together with earth canals and concrete roads.
9. A total of 12,093 trees of different types will be affected and 2,855m² of crops including vegetable and beans are also affected due to land acquisition and construction.

10. There is no severely affected household as well as household who might be worsened off due to the project impacts. A woman-headed household belonging to vulnerable group in Phu Thuong Ward will be affected by the subproject.

1.3. Associated structures

11. Chem-Tay Ho 220kV TL will connect to the 220kV substation. Tay Ho substation is built to connect the grid system of some transmission lines including Chem-Tay Ho 220 TL.

12. The construction of Chem-Tay Ho 220kV substation will cause impacts on 36 households and acquire 3,244.5 m² more land. All of the acquired area is annual crop land. The affected assets include peach trees (type of trees that have high economic value of the PAPs) and four graves. No household is affected on houses or has to relocate due to land acquisition to build the substation.

13. So far, the payment of compensation and assistances for the impacts caused by the construction of Tay Ho 220kV substation has been completed. The total cost of VND 12,430,801,924 has been provided for 36 affected households. Policies applied to calculate the entitlements of the PAPs and the implementation processes are in compliant with the regulatory documents by the Government of Vietnam and Hanoi City PC.

14. In order for the land acquisition and compensation payment for the households affected by Tay Ho substation to be harmonized with the policies applied for Chem-Tay Ho 220kV TL subproject, some recommendations have been proposed to Hanoi EVN and Tay Ho DCARB.

1.4. Socio-economic information and profile

15. A total of 155 households are affected. The average household size is 4.09 persons. The rate of males is 51.3% while the rate of females is 48.7%. The population within the 35 to 55 age group accounts for the majority with 34.2%.

16. Most of the heads of households have finished the secondary school level, accounting for 35.5%. The occupational structure of the affected households is quite diversified with 83.1% engaged in agricultural sector. 5.6% are workers receiving salaries from public and 3.2% from private companies. 4% of the PAPs above 18 stay at home to do housework, 0.8% are hired labors and 0.8% are workers in the factories.

17. There is no household whose income is under poverty line (below VND 750,000/person/month)¹. 13 households, accounting for 8.4% have the monthly per capita income level from VND 750,000 to VND 1,000,000. Most of the

¹Decision No. 01/2011/QD-UBND by Hanoi City People's Committee issuing poverty and near-poverty standards of Hanoi City for the 2011-2015 periods.

households (91.6%) have the per capita income more than VND 1 million per month. The primary sources of income of these affected households are from cultivation, livestock husbandry and workers. No household is classified as poor according to the standard established by Hanoi City PC.

18. 36.1% of the affected households use tap water while 61.9% have to use water from drilled well and then filter water by primitive methods at home; 100% of the households use composting latrines and 100% of them use national grid.

19. There is no ethnic minority household in the project area.

1.5. Information disclosure, consultation, and participation

20. Consultation meetings were held in March 2014 in three wards with 59 participants including 47 representatives of PAHs and 12 WPCs' officials. The participants include representatives of the affected households, local authorities, mass organizations such as Women's Union and Fatherland's Front at the ward level. With regard to disclosure of the draft resettlement plan, key information has already been provided to the affected households and companies during the public consultation meetings. The following information contained in the Public Information Booklet (PIB) distributed include: (i) a brief background of the project, specifically the civil works to be undertaken and the adverse social impacts; (ii) IOL results; (iii) basis used for asset valuations; (iv) the entitlements; (v) timing of payments and the schedule of displacement; (vi) grievance redress mechanism; and (vii) contact persons at the PMB and concerned ward people's committee (WPC).

1.6. Grievance Redress Mechanism

21. In order to ensure that all affected persons' grievances and complaints on any aspect of land acquisition, compensation and resettlement are addressed in a timely and satisfactory manner, and that all possible avenues are available to affected persons to air their grievances, a well-defined grievance redress mechanism has been established. All affected persons can send any questions to implementation agencies about their rights in relation with entitlement of compensation, compensation policy, rates, land acquisition, resettlement, allowance and income restoration. Affected persons are not ordered to pay any fee during the grievance and complaints at any level of trial and court. Complaints will pass through stages such as WPC, District People's Committee (DPC), and Ha Noi People's Committee before they can be elevated to a court of law as a last resort.

1.7. Legal framework

22. This Project is financed by ADB; therefore, the ADB's SPS 2009 and some other policies will be applied in accordance with the principle of policy harmonization with those of other donors as well as the recipient country with the aim to ensure

mitigation of adverse impacts caused by land acquisition and to enhance the effectiveness of the project implementation.

23. The project resettlement policy and entitlements have been developed from the laws of the Government of the Socialist Republic of Viet Nam (GOV), principally the Constitution (2013) that confirms the right of citizens to own and protect the ownership of a house; Land Law N° 45/2013/QH13 dated November 29 2013, providing Viet Nam with a comprehensive land administration law; Decree N°43/2014/ND-CP dated May 15 2014 guiding implementation of some articles of the Land Law 2013; Decree No. 47/2014/ND-CP dated May 15 2014 on compensation, rehabilitation and resettlement in the event of land recovery by the State; Decree No 44/2014/ND-CP dated May 15 2014 on land prices; and ADB's Safeguard Policy Statement (SPS June 2009) guided by Operations Manual on Involuntary Resettlement (OM Section F1/OP, on 3 March 2010). Provisions and principles adopted in this project will supplement the provisions of relevant decrees currently in force in Viet Nam wherever a gap exists, consistent with Decree N°38/2013/ND-CP which provides that in case of "*discrepancy between any provision in an international treaty on Official Development Assistance (ODA), to which the Socialist Republic of Viet Nam is a signatory, and the Vietnamese Law, the provision in the international treaty on ODA shall take precedence*" (Article 46, Item 1).

1.8. Entitlements, assistance, and benefits

24. The project entitlements adopted are based on ADB's SPS (2009) that have been harmonized with the existing GOV laws, Ha Noi People's Committee's Decisions on land acquisition, resettlement and assistance. The entitlements in this resettlement plan may be enhanced, as necessary during the updating process, after the project and this document have been approved by the ADB and GOV, and the detailed engineering design that determines the extent of the RoW and substation. The resettlement plan updating will entail the conduct of the detailed measurement survey (DMS) and consultations with affected peoples will be held to ensure that losses are compensated at replacement cost and peoples' livelihood is restored to their pre-project levels or better. The cut-off date of eligibility will be based on the start of the census of affected persons and conduct of DMS during resettlement plan updating.
25. One of key policy objectives of the project is to replace or compensate lost assets. All compensation is based on the principle of replacement cost. Compensation and provision of assistance will be provided and income restoration programs will be put in place prior to displacement of affected households from their houses, land, and other assets, such that they will be at least as well off as they would have been in the absence of the project, and the

poorest affected households and vulnerable groups are assisted to help improve their socio-economic status.

1.9. Relocation of housing and settlements

26.No household has to relocate.

1.10. Income restoration and rehabilitation

27.In order to assist affected persons restore livelihoods and income levels, the project will provide an income restoration program that is adapted to the needs and situation of the affected persons as determined in the SES. The affected persons covered by the income restoration program are identified in the entitlement matrix.

28.Income restoration program of the project includes:

- Allowance cash for permanently acquired agricultural land, and allowance cash for job changing and creation, applying for affected households with permanently acquired agricultural land.
- Allowance cash for economic rehabilitation package applied for the households losing from 10% of their productive landholdings.
- Allowance cash for vulnerable affected households (Women headed household, elderly household heads).
- Assistance for losses on business and job.

1.11. Resettlement budget and financing plan

29.The total cost for resettlement is estimated at VND 11,979,029,358 (or equivalent to USD 570,429.97). This proposed budget includes compensation and allowances, cost for DCARBs (2% cost of compensation and allowances), cost of external monitoring and contingency. EVN Hanoi and PMB will ensure the timely provision of counterpart funds for resettlement to meet any unforeseen obligations in excess of the resettlement budget estimates in order to satisfy resettlement requirements and objectives.

1.12. Institutional arrangements

30.EVN Hanoi is the executing agency of the project. EVN Hanoi will establish a HPPMB at its headquarters to oversee the overall administrative and financial aspects of the project. The PMB will coordinate the consultants and closely cooperate with Hanoi People's Committee, DPCs, DCARBs and WPCs to update the resettlement plan and implement resettlement activities.

1.13. Implementation schedule

31. Table below summarizes the steps involved in the implementation of land acquisition, compensation and resettlement activities for the project.

Table 6. Implementation Schedule

Main activities	Time-frame
<i>Preparing RP</i>	
Detailed engineering and demarcation of land to be acquired	Year 1
Award contract and mobilize resettlement plan Consultants	Month 10 of Year 1
Public meeting and consultations with affected persons on draft resettlement plan	Year 1
Finalize updated resettlement plan and submit to HPPMB for review and referral	Month 2 of Year 1
ADB no-objection to resettlement plan	Month 2 of Year 2
Disclosure of approved resettlement plan	Month 3 of Year 2
<i>Implementing RP</i>	
DMS	Months 3 and 4 of Year 2
Compensation payment	Months 4 and 5 of Year 2
Implementation of rehabilitation measures	Month 5 of Year 2
Site clearance	Month 5 of Year 2
Start of civil works	Month 6 of Year 2 until Month 6 of Year 3

2.0. SUBPROJECT INTRODUCTION

2.1. Objectives of the Subproject

32. The subproject comprises four components, which are (i) overhead line; (ii) 220kV underground cable; (iii) Chem-Tay Ho 110kV underground cable; and (iv) Chem-Mai Dong 110kV underground cable.

33. The subproject is implemented with the aim:

- To meet the electricity demands of the important loads in Hanoi area; to supply electricity for Tay Ho 220/110kV substation, which is the main substation supplying electricity for the power loads in central districts of Hanoi (Tay Ho, Ba Dinh, and Hoan Kiem)
- To reduce power losses of the system, contributing to increase the production and business efficiency of the Electricity of Vietnam (EVN).

2.2. Main features of the subproject

34. Chem-Tay Ho 220/110kV TL and 110kV line at outgoing feeder from Tay Ho 220kV substation is line structure and implemented in the area of Dong Ngac Commune of Tu Liem District and Phu Thuong Ward of Tay Ho District in Hanoi.

2.2.1. Overhead line component

Table 2. Featured of project

Voltage	220; 110kV
Number of circuits	4 circuits
Start point	Anchor tower numbered 47 Chem-Van Tri 220kV TL. The newly built tower at the centreline of the previous 110kV line about 20m from the VT19.
End point	220kV: Underground cable tower VT42A; 110kV: Underground cable tower VT42A.
Length	3.83 km
Electric line	ACSR500/64 for the 220kV circuit. ACSR400/51 for the 110kV circuit.
Lightning protection	Phlox116 and OPGW96
Electrical insulation	Insulation according to the IEC standard
Tower	Tubular steel tower
Foundation	Pile foundation

2.2.2. Chem-Tay Ho 200kV and 110kV underground cable lines

35. The line starts from VT42A, goes along the centerline of the existing overhead line and turns before the drainage, and then goes in parallel with the drainage of the access road to Tay Ho 220kV substation.

2.2.3. Tay Ho-Mai Dong 110kV underground cable

36. The cable line starts from the cable tunnel placed at Lane 15 An Duong Vuong Road, about 20m from the road to the substation, the line turns to the road to Tay Ho 220kV substation.

2.3. Mitigation measures

2.3.1. Mitigation measures for land acquisition impacts during design process

37. During the basic design process, the design consultant agency has conducted surveys and discussions with the Project Management Board in order to develop the best solution to minimize land acquisition impacts. Specifically:

- Conduct field trip;
- Use different techniques to consult with project's stakeholders.
- During the project preparation, the Design Consultant has consulted with the Department of Planning and Architecture of Hanoi City, the wards in the project area and other relevant agencies to agree upon the construction plan in order to minimize land acquisition impacts. The new design of the line goes along the existing line Chem-Yen Phu 110 kV. The 220kV and 110kV lines are arranged on one tower to minimize permanently acquired land area of the households.

38. The selected option has been adjusted after updating the comments and opinions from concerned parties.

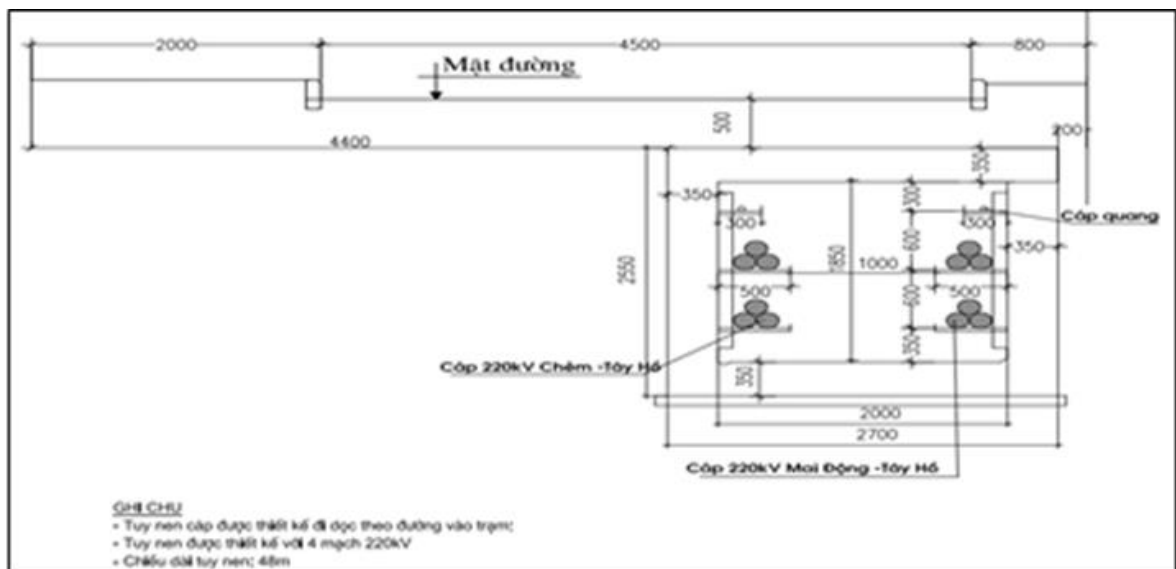


Figure 1. Arrangement of one-compartment cable tunnel

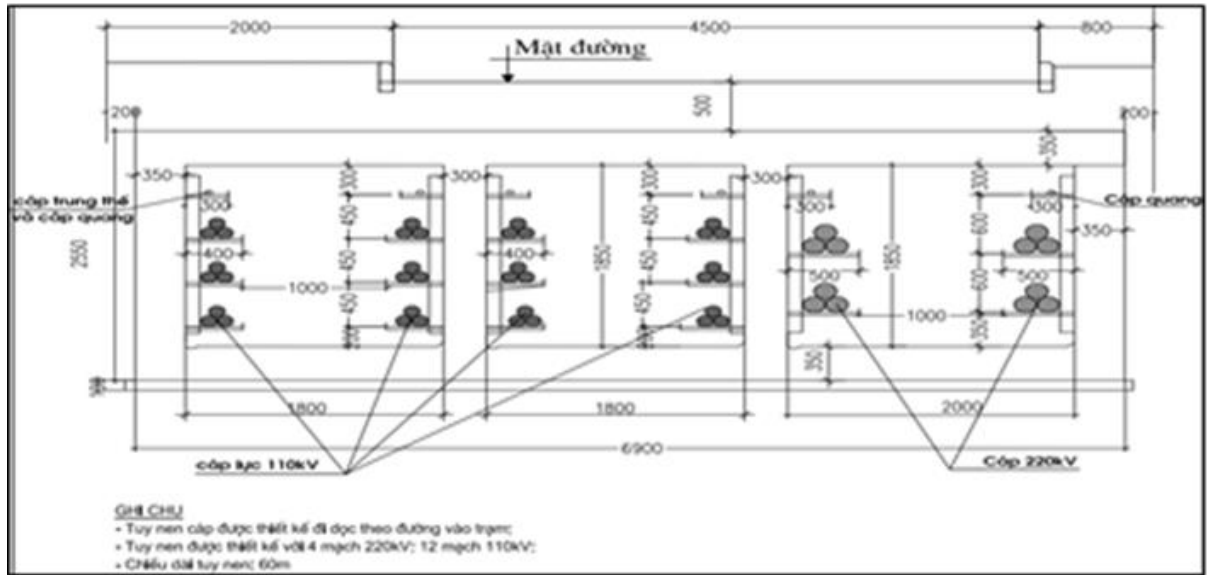


Figure 2. Arrangement of three-compartment cable tunnel

2.3.2. Mitigation measures for land acquisition impacts during implementation process

39. The mitigation measures for land acquisition impacts during the project implementation process have been taken into consideration. The design consultant has proposed suitable construction methods in order to minimize land acquisition impacts as well as impacts on local communities. These methods include: (i) Cable tunnel is designed to go underground, the tunnel is made of reinforced concrete; (ii) tunnel goes along the existing earth road starting from the connection pole to the substation, which minimizes significant impacts on households growing peach trees around tunnel area.

3.0. SCOPE OF LAND ACQUISITION AND RESETTLEMENT IMPACTS

3.1. Scope of impacts

40. The subproject is implemented in the area of three wards, Phu Thuong (Tay Ho District, Dong Ngac and Thuy Phuong (Bac Tu Liem District). The total land area to be acquired for the subproject is 37,758 m². The subproject will cause impacts on 155 households and 634 persons. It will affect 18 houses (including seven fourth-grade houses and 11 temporary houses) and some auxiliary structures. No household has to relocate. The subproject also causes impacts on trees and crops.

Table 3. Summary of impacts

No.	Impacts	No. of PAHs	Unit	Quantity
I	Land			
1	Residential	-	m ²	-
2	Agricultural	155	m ²	37.758
II	Houses and structures	-	-	-
4	Grade IV	7	m ²	440
5	Temporary house	11	m ²	269
6	Structures	-	-	-
6.1	<i>Kitchen, livestock shelter, yard, etc.</i>	1	m ²	7
6.2	<i>Water meter, electricity meter</i>	6	unit	14
6.3	<i>Water tank</i>	3	m ²	23
6.4	<i>Fence</i>	22	m ²	327
6.5	<i>Sewer</i>	4	unit	22
6.6	<i>Latrine, bathroom</i>	1	m ²	10
6.7	<i>Drilled well</i>	3	unit	3
6.8	<i>Drying ground</i>	4	m ²	41
III	Trees and crops			
1	Crops (vegetable)	15	m ²	2.855
2	Timber tree	1	tree	4
3	Fruit tree	8	tree	131
4	Potted plant	129	tree	11.958
IV	Public structures			
1	WPC land	-	m ²	30.000
2	Concrete road	-	m ²	1.100
3	Cemetery land	-	m ²	600
4	Pond land	-	m ²	3.000
5	Concretized canal	-	m ²	400
6	Wall	-	m ²	10
7	Earth canal	-	m ²	1.800
8	Traffic land	-	m ²	200

3.2. Land acquisition impacts

41. The total affected land area caused by the subproject is 37,758 m² including 605 m² of permanently acquired land and 37,153 m² of temporarily acquired land.

Table 4. Total affected land area

District/Ward	Total affected land area	Total temporarily acquired area	Total permanently acquired area
I. Tay Ho District	23.842	23.432	410
1. PhuThuong	23.842	23.432	410,04
II. BacTuLiem District	13.916	13.721	195
1. Dong Ngac	11.257	11.126	131,28
2. Thuy Phuong	2.659	2.595	64
Total	37.758	37.153	605

3.2.1. Permanently acquired land

42. The total area of permanently acquired land to build the transmission line is 605m² belonging to 19 households. All of the affected area is annual crop land mainly in Phu Thuong Ward (410 m²), Dong Ngac (131 m²) and Thuy Phuong (64 m²).

43. The overhead line component has 23 tower locations in which 15 towers require acquisition of land of 15 households. The affected area of these 15 towers is 565 m². The remaining eight towers are built on the existing foundations on the public land under the management of Phu Thuong WPC.

44. The underground cable component needs to acquire 40m² of land of four households.

Table 5. Detailed impacts caused by permanent land acquisition

Unit: m²

District/Ward	Total affected area	Residential land	Annual crop land
I. Tay Ho District	410	-	410
1. PhuThuong	410	-	410
II. BacTuLiem District	195	-	195
1. Dong Ngac	131	-	131
2. Thuy Phuong	64	-	64
Total	605	-	605

45. A total of 19 households in Tay Ho and Bac Tu Liem districts including 15 households in Phu Thuong, three households in Dong Ngac and one household in Thuy Phuong, are affected on their annual crop land. Among these 19 households, only one household is leasing land and has land lease contract while the rest are the owners of the affected land. Among them, only three households have land-use right certificates of agricultural land. The remaining 15 households, although they do not have LURCs, have legal documents of their productive land areas.

46. Among 19 households whose productive land is permanently affected, 16 households lose less than 10% of their landholdings while three households are affected from 10% to 30% of their productive landholdings.

3.2.2. Temporarily acquired land

47. A total of 37,153 m² of land will be affected temporarily during construction period. These impacts are caused by land acquisition to build foundations, displacement of old electricity posts and ROW.

Table 6. Detailed impacts caused by temporary land acquisition

Unit: m²

District/Ward	Total affected area	Residential land	Annual crop land	Perennial crop land
I. Tay Ho District	23.432	-	23.432	-
1. PhuThuong	23.432	-	23.432	-
II. BacTuLiem District	13.721	-	13.721	-
1. Dong Ngac	11.126	-	11.126	-
2. Thuy Phuong	2.595	-	2.595	-
Total	37.153	-	37.153	-

48. All of the temporarily affected area is annual crop land. No residential land is affected. In which, the most affected productive area is in Phu Thuong Ward with 23,432 m² of affected land. The affected annual crop land in Bac Tu Liem District is 11,126 m² in Dong Ngac Ward and 2,595 m² in Thuy Phuong Ward. The temporarily affected land will be restored and returned immediately after the construction is completed.

49. Among the temporarily affected area above, there is land within the ROW. For this area, people can still use to plant crops; houses are allowed to exist within the ROW in accordance with the ROW safety regulations. However, if trees affect the electricity safety, they will be cut down and some types of trees are only allowed when their branches are trimmed and height is limited.

3.3. Project affected households

50. A total of 155 households are affected by the subproject. Among them, the number of households losing land permanently is 19 households while the remaining 136 households are affected temporarily during construction period and by restriction to land use.

51. 18 houses including seven fourth-grade houses and 11 temporary houses are under the ROW. These houses will be applied safety, fire prevention and explosion proof measures according to the ROW safety regulations, namely Decree No. 14/2014/ND-CP. Among these 18 houses, 12 houses are being used by the owners and six houses are being leased. Of which, only five households have certificates of housing ownership, three house are waiting for the grant of certificate of housing ownership, eight households do not have certificates and two households do not have permits to build houses.

3.4. Impacts on house and structure

52. 44 structures including kitchens, electricity and water meters, fences, yards and water wells will be affected by the subproject. These structures will not be dismantled but applied the above-mentioned safety measures according to the current regulations.

Table 7. Impacts on structures of the affected households within ROW area

Structure	HH/ Quantity	PhuThuong	Dong Ngac	Thuy Phuong	Total
Kitchen outside of main house	HH	1	-	-	1
	Quantity	7	-	-	7
Electricity meter	HH	4	1	-	5
	Quantity	4	5		9
Water meter	HH	-	1	-	1
	Quantity	-	5	-	5
Fence	HH	10	12	-	22
	Quantity	252	75	-	327
Gate	HH	4	-	-	4
	Quantity	22	-	-	22
Latrine, bathroom	HH	1	-	-	1
	Quantity	10	-	-	10

Drilled well	HH	3	-	-	3
	Quantity	3			3
Water tank (m³)	HH	3	-	-	3
	Quantity	23	-	-	23
Drying ground (m²)	HH	2	2	-	4
	Quantity	22	19	-	41

3.5. Impacts on public structures

53. Some public structures will be affected including land under management of WPCs, concrete roads, cemetery land, pond land and canals, etc. The affected land area of the WPCs is 30,000 m². The Table 7 below shall present structures affected corresponding to the construction categories of the subproject.

Table 8. Impacts on public structures

Ward	Affected assets	Owner	Unit	Quantity
1. PhuThuong	WPC land	WPC	m ²	16.000
	Concrete road	WPC	m ²	600
	Cemetery land	WPC	m ²	600
	Pond land	WPC	m ²	2.000
	Concretized canal	WPC	md	400
	Wall	Nhat Tan 110kV substation	m ²	10
	Earth canal	WPC	md	1.000
2. Dong Ngac	WPC land	WPC	m ²	12.000
	Concrete road	WPC	m ²	500
	Earth canal	WPC	m ²	800
	Pond land	WPC	m ²	1.000
3. Thuy Phuong	WPC land	WPC	m ²	2.000
	Traffic land	WPC	m ²	200
Total				37.110

3.6. Impacts and trees and crops

54. A total of 12,093 trees of different types belonging to 137 households will be affected by the subproject. The main impacts are on fruit trees (dracontomelum, grapefruit, mango, and banana) and potted plants (kumquat, peach, and apricot). Among 12,093 affected trees, 1,280 trees will be cut down. The remaining 10,723 trees are temporarily affected as they are within the ROW area.

55. 2,855 m² of crops of 15 households are affected due to permanent land acquisition and temporary impacts during construction period. Except for 130 m² of permanently acquired area, the remaining area (2,725 m²) will be continued using immediately after the construction is finished. Types of affected crops include vegetables and beans.

56. **Severely affected households.** There is no household who might be worsened off by the project's impacts. However, there are three households losing from 10% to 30% of their productive landholdings.

57. **Vulnerable households.** According to the project's policy, the vulnerable households include woman-headed households, ethnic minority households, the disabled, poor households (according to the criteria by Hanoi City PC), single elderly households and households who are beneficiaries of social policies.

Table 9. Vulnerable groups

No.	Ward	Woman-headed HHs	EM HHs	The disabled	Poor HHs	Single elderly HHs	Beneficiary HHs of social policies	Total
I	Tay Ho District	1	-	-	-	-	-	1
1	PhuThuong Ward	1	-	-	-	-	-	1
II	BacTuLiem District	-	-	-	-	-	-	-
1	Dong Ngac Ward	-	-	-	-	-	-	-
2	Thuy Phuong Ward	-	-	-	-	-	-	-
	Total	1	-	-	-	-	-	1

58. There is only one woman-headed household belonging to the vulnerable group in Phu Thuong Ward.

4.0. SOCIO-ECONOMIC INFORMATION AND PROFILE

4.1. Methodology used in socio-economic survey

59. Socio-economic survey is conducted in parallel with the inventory of losses by a team of officials who are specialized in sociology from the design consulting agency. The survey is carried out from January to the end of February 2014 in two districts, Tay Ho and Bac Tu Liem. 100% of the affected households identified have participated in this survey.

4.2. Project area

4.2.1. Tay Ho District

60. Tay Ho is the fourth largest district after Ha Dong, Long Bien, and Hoang Mai districts. The district is about 2,401 ha out of the total of 17,878 ha of land in inner Hanoi, accounting for 13.4%. Among the total natural land area, the area of agricultural land is 271 ha, occupying 11.3%; the area of forestry land of the district is 500.4 ha (accounting for 20.8%), and the area of residential land is 420.2 ha, making up 17.5%.

61. Tay Ho District consists of eight wards with the total population of 145,700 people (2012). The population density of the district is 6,068 persons per square kilometer.

62. According to the development orientation of Hanoi Capital until 2020, the entire Tay Ho district belongs to the development area of the city. The district has favorable conditions to attract financial resources, human resources, and technology to promote the socio-economic development of the district in particular and of Hanoi in general.

4.2.2. Bac Tu Liem District

63. Bac Tu Liem District is established according to the Decision No. 132/NQ-CP dated December 27 2013 by the Government by separating nine communes of the previous Tu Liem District.

64. The district consists of 13 wards with the total natural land area of 4,335.34 ha with the total population of 320,414 people (2013). The population density of the district is 7,377 people per square kilometer.

4.3. Project affected people

4.3.1. Demographic features

65. Among 155 households surveyed, most of them have from 3 to 4 persons (accounting for 54.8%). The percent of households comprising five to six members makes up 27.1%. The households with small size from one to two

persons account for 12.3%. The remaining 5.8% are those households who have from six persons and above. The average household size is 4.09 persons.

66. There are 634 persons in 155 households. The percent of male is 51.3% while the percent of female is 48.7%.

67. 34.2% of the population is from 35 to 55 age group. The number of people belonging to 18 to 35 age group account for 27.9%. Population more than 55 years old makes up 17.5% while people in the 5 to 18 age group occupy 15.6%. The population under 5 account for 4.7%.

Table 10. Population by age group

Age group	PhuThuong		Dong Ngac		Thuy Phuong		Total	
	Persons	%	Persons	%	Persons	%	Persons	%
Less than 5	11	3,0	17	8,1	2	3,3	30	4,7
5 to 18	65	17,9	28	13,4	6	9,8	99	15,6
18 to 35	105	28,8	61	29,2	11	18,0	177	27,9
35 to 55	133	36,5	60	28,7	24	39,3	217	34,2
More than 55	50	13,7	43	20,6	18	29,5	111	17,5
Total	364	100	209	100	61	100	634	100

4.3.2. Education level of the heads of PAHs

68. Most of the heads of households only completed secondary education level, accounting for 35.5%. 24.5% of them have not completed high-school level and 3.2% only attained primary school level. The rate of household heads who completed high school level is 29.7% and only 5.8% of them have undergone vocational training. The number of household heads who participated university and higher is very small, only 1.3%.

4.3.3. Occupations of affected households

69. The occupational structure of the affected household is quite diversified. Although nearly 100% of the affected households are engaged in agricultural sector, they have other jobs as to earn more income for the households such as services, workers or hired labors, and so on.

70. 505 affected people are above 18 and 83.1% of them are involved in agricultural sector (cultivation and livestock husbandry). 5.6% of them are public officials and 3.2% are working in the private companies. 4% of the PAPs stay at home and do housework while the number of workers and hired labors are the same (0.8%). There is no PAP above 18 who are students.

Table 7. Occupations of the affected people by age group

Occupations	18 to 30 age group		31 to 60 age group		Total	
	HH	%	HH	%	HH	%
Agricultural sector	1	100,0	101	82,1	102	82,3
Livestock husbandry	0	0,0	1	0,8	1	0,8
Shop/store	0	0,0	3	2,4	3	2,4
Restaurant	0	0,0	0	0,0	0	0,0
Workers	0	0,0	1	0,8	1	0,8
Public officials	0	0,0	7	5,7	7	5,6
Working in private companies	0	0,0	4	3,3	4	3,2
Working in transport sector	0	0,0	0	0,0	0	0,0
Students, pupils	0	0,0	0	0,0	0	0,0
Housework	0	0,0	5	4,1	5	4,0
Hired labors	0	0,0	1	0,8	1	0,8
Total	1	100	123	100	124	100

4.3.4. Monthly income and expenditure of affected households

71. The poverty line of Vietnam is set by the government, which is applied nationwide with the differences between urban and rural areas. The poverty line for the rural area is the households who have monthly per capita income less than VND 400,000. However, the government allows the provinces, depending on the specific conditions of each province, to adjust their corresponding poverty line. As for Hanoi, Hanoi City PC has issued the Decision No. 01/2011/QD-UBND dated January 10 2011 promulgating poverty line and near-poverty line in Hanoi city area. Accordingly, in the urban area, the households whose per capita income is less than VND 750,000 per month, and in the rural area, households whose per capita income is less than VND 550,000 per month, are classified as poor.

72. There is no PAH having income level under the poverty line, which is VND 750,000/person/month. There are 13 households classified as near-poor, accounting for 8.4%, whose have monthly per capita income from VND 750,000 to VND 1 million. The majority of the PAHs (91.6%) have per capita income above VND 1 million per month.

73. The main sources of income of the PAHs are from cultivation, livestock and working at the factories, in which cultivation is the primary and most stable source. People in three wards, Phu Thuong, Dong Ngac, and Thuy Phuong, have

main income source from cultivation. In Phu Thuong Ward, people mainly grow peach trees while in Dong Ngac and Thuy Phuong, kumquat trees are planted the most. These are types of trees that have high economic values and are only sold during Tet Holidays. However, great efforts are required to take care of them.

74. Some vegetable and different types of beans are also planted on the affected area under ROW. Most of vegetable and beans are planted to sell at the markets to bring income for the households.

75. Meanwhile, livestock husbandry activities generate good income; however, they are often threatened by epidemic diseases. Households whose income is from salaries of workers and government officials are often higher and more stable.

Table 8. Per capita income of the affected households by wards

District/Ward	Less than VND 750,000		VND 750,000 to VND 1,000,000		More than VND 1,000,000		Total	
	HH	%	HH	%	HH	%	HH	%
I. Tay Ho District	0	0,0	3	3,2	90	96,8	93	100
1. PhuThuong	0	0,0	3	3,2	90	96,8	93	100
II. Bac Tu Liem District	0	0,0	10	16,1	52	83,9	62	100
1. Dong Ngac	0	0,0	7	14,6	41	85,4	48	100
2. Thuy Phuong	0	0,0	3	21,4	11	78,6	14	100
Total	0	0,0	13	8,4	142	91,6	155	100

4.3.5. Water, hygiene, sanitation and health indicators

76. Data is available on water, hygiene and sanitation and it appears the major health-related issue is an increase in dengue during summer months but otherwise there are quite high standards of health and hygiene. Infant mortality rates at 10.5/1,000 and the under 5 MR of 15.2/100,000 are lower than for Vietnam. People with serious physical disabilities constitute 10.5% of the population, those classified as chronically unwell 9.3% but only 0.1% of the population suffers from serious communicable diseases (primarily HIV/AIDs and Tuberculosis).

77. Only 36.1% of the households, equivalent to 56 households, in Bac Tu Liem District have access to hygiene clean water such as tap water supplied by water treatment plants or domestic water supplying plants. No affected household in Phu Thuong Ward, Tay Ho District uses tap water. 61.9% of the PAHs have to

use water from drilled well and then filter water by primitive methods at home. 1.9% of the households are using water from dug well.

78. All of the PAHs use composting latrines.

4.3.6. Energy sources

79. With regards to energy use, 100% of the households use national grid for lighting and operating appliances such as fridge, air conditioner, television, and so on; however, the quality of electricity is not good due to many reasons.

80. For cooking, 100% of the households use gas as main energy source.

5.0. INFORMATION DISCLOSURE, CONSULTATION, AND PARTICIPATION

5.1. Stakeholders

81. Publication and dissemination of information are not only the requirements of international donors but also regulations of the Government of Vietnam in Article 69, Law on Land (2013), and Article 28 (item 2) of Decree No. 47/2014/ND-CP.

82. In accordance with the Article 69 of Land Law 2013, and the 2011 Public Communications Policy by ADB, Hanoi PPMB, representative of EVN Hanoi will foster the participation of the key stakeholders of the project. The stakeholders will participate in information disclosure and dissemination processes as well as consultation activities at community level, including (i) District Compensation Board; (ii) CPCs; (iii) local mass organizations; (iv) representatives of the affected companies/organizations; and (v) local communities in the project area.

5.2. Objectives of consultation

83. The overall objectives of the consultation program and community information campaign are to disseminate information and collect feedback from key related parties on aspects of compensation and resettlement planning:

- Minimize possible conflicts
- Minimize the risk of project delays
- Ensure that the preparation and implementation of resettlement plan is conducted transparently.

84. Key objectives and principles are:

- To share main information about the project to the affected persons, local authorities and other related parties (project background, objectives, plans for study, environmental and relocation issues).

- To gather information on the need and priorities of the affected persons, local communities, local governments, non-governmental organizations as well as reactions/feedback against the compensation, support and resettlement policies, as well as other related activities.
- To attain the cooperation and participation of the affected persons, the relevant units through all stages of planning and implementation of site clearance and resettlement.
- To ensure transparency in all activities related to land acquisition, compensation, resettlement and rehabilitation measures.
- Through the full and active participation, needs and desires of the local population will be discussed and listened. Households and other related parties will be consulted during the preparation and implementation of resettlement plan. This is a two-way process to publish and disseminate information and collect feedback and recommendations to prepare and implement the resettlement plan.
- Dissemination of information, consultation and participation should be carried out in the phase of resettlement plan establishment and will continue throughout the implementation phase of the resettlement plan.

5.3. Public consultations during RP preparation

85. Two rounds of consultations have been conducted in three wards of Tay Ho and Bac Tu Liem districts. The first consultation round was carried out by the Design Consulting Agency in November 2013 and the second round was organized with the participation of Hanoi PPMB and Social and Environmental Consultant Group.

86. 59 people participated in the consultations including 47 representatives of the PAHs and 12 officials of three wards, Phu Thuong, Thuy Phuong, and Dong Ngac. The representatives of mass organizations such as the Fatherland's Front, the Women's Union of the ward have attended and contributed opinions to the project.

87. The representative of the Employer and Consulting Agency have informed the public with regards to the following topics:

- Project description: the alignment of the line, location of the substations and the importance of these structures above, the financing source of the project, its objectives and components.
- Compensation policies of the project;
- Mitigation measures for the impacts to minimize impacts on and losses of people.

88. The feedbacks received are summarized as follows:

- The subproject is invested according to the policy of the Party and State for the benefits of local communities; therefore, the communities and WPCs totally support the project.
- The construction schedule should be clear and after the construction, site must be restored and returned. Under the TL is the cemetery area near the underground cable location; therefore, it is necessary to avoid affecting the graves here.
- It is recommended that the PMB has close supervision mechanism of the contractors during construction period. Compensation must be paid prior to construction. And during construction period, labor safety and environmental sanitation should be guaranteed. There should be signals and signs to ensure traffic safety for people.
- The construction plan and schedule must be appropriate. Prior to the construction, PAPs should be informed so that their crops are not affected.
- Along the TL, there are several households growing peach trees. Therefore, during the construction period, the construction unit and PAHs should reach agreement. The PAHs suggest that prior to the construction, consultation should be organized to get comments and opinions from PAPs as there are many households growing peach trees here. During the construction process, there should be equipment to support the TL to avoid impacts on peach trees under the TL's ROW.
- Prior to the construction, there should be consensus from the owner of the peach garden to allow construction on their land and compensation rates should be negotiated between the owners of the peach garden and construction in case of emerging impact caused on the peach trees below the TL.
- In order to minimize impacts on PAHs and local communities during construction, the best construction time is at least one month before or after Tet Holidays as before the end of the year (Lunar Calendar), the households will grow peach trees in pots and after the Tet Holiday, they have to prepare land to grow peach trees.
- As for the PAHs, the project should ensure their entitlements and compensate for their losses according to the current regulations.
- Construction plan and schedule should be informed to the communities and the PMB should cooperate closely with the local authorities and consult with the local communities to avoid complaints and queries.

- Waste materials after displacing the foundations should be transported to another area because there is no waste landfill area in these wards.
- In the construction sites, there are rain-fed crops; during the construction period or material transportation, if there is any emerging impact on the crops, the project should compensate and support the PAPs during the time when land cannot be used.
- There should be plan and method to displace the old foundations to avoid impacts on production activities. The safety of the households under the ROW of the TL should be guaranteed.

5.4. Consultation and information disclosure plan during project implementation process

89. Consultation and information disclosure should be made during the project preparation phase and throughout the project construction and operation to ensure requirements on disclosure of information, consultation and participation. To ensure that people stay informed of the project, participate in consultations and other activities of the project, the following actions should be taken:

- Resettlement plan should be summarized and disclosed to the affected people in different forms.
- For cities and districts: The RP documents must be provided to the People's Committee Office of the City, District, Chairmen of the District People's Council with full version in Vietnamese. RP in Vietnamese will be announced at the Office of People's Committee to the public, interested organizations can access, find out.
- For the wards: The summary of RP documents in Vietnamese will be placed in the WPC Office;
- For the community: The summary of the RP documents in Vietnamese will be delivered to the home of the village leader.
- RP leaflets in Vietnamese are distributed to the affected households and ward leaders.
- RP in English will be disclosed on Website of ADB.

90. The consultation should be carried out during the preparation, implementation and operation of the project. As a minimum the following activities should be undertaken:

- Consultation, disclosure of information in the form of leaflets, propaganda through loudspeaker system about information of the project prior to the survey, detailed measurement;

- Consultation, disclosure of information in the forms of public meetings throughout the project implementation process;
- Posting the survey results, detailed measurement and compensation price prior to payment;
- Consultation, disclosure of information in the form of propaganda and training on safety of power grid during the project operation.

5.5. Post-project implementation

91. The EVNHanoi will inform the ADB following the Project completion. As part of the appraisal, all aspects of the Project such as technical, finance, economics, environment and RP shall be evaluated if their respective objectives have been met as to their relevance, efficacy, efficiency and sustainability. The HanoiPPMB will coordinate with the commune and village officials to inform the APs to participate in the consultations and interviews that shall be conducted by the Bank's Independent Evaluation Division.

6.0. GRIEVANCE REDRESS MECHANISM

92. In order to ensure that all APs' grievances and complaints on any aspect of land acquisition, compensation and resettlement are addressed in a timely and satisfactory manner, and that all possible avenues are available to APs to air their grievances, a well-defined grievance redress mechanism needs to be established. All APs can send any questions to implementation agencies about their rights in relation with entitlement of compensation, compensation policy, rates, land acquisition and grievance redress. APs are not required to pay any fee during any of the procedures associated with seeking grievance redress including if resolution requires legal action to be undertaken in a court of law.

93. The grievance redress procedure shall be implemented as follows:

First Stage, Commune/Ward People's Committee: An aggrieved APs may bring his/her complaint to the One Door Department of the Commune/Ward People's Committee, in writing or verbally. The member of CPC/WPC at the One Door Department will be responsible to notify the CPC/WPC leaders about the complaint for solving. The Chairman of the CPC/WPC will meet personally with the aggrieved APs and will have 30 days following the receiving date of the complaint to resolve it. The CPC/WPC secretariat is responsible for documenting and keeping file of all complaints handled by the CPC/WPC.

Second Stage, District People's Committee: If after 30 days the aggrieved affected household does not hear from the CPC, or if the APs is not satisfied with the decision taken on his/her complaint, the APs may bring the case, either in writing

or verbally, to any member of the DPC or the DCARC of the district. The DPC in turn will have 30 days following the receiving date of the complaint to resolve the case. The DPC is responsible for documenting and keeping file of all complaints that it handles and will inform the DCARC of district of any decision made.

Third Stage, City People's Committee (CityPC): If after 30 days the aggrieved APs does not hear from the DPC, or if the APs is not satisfied with the decision taken on his/her complaint, the affected household may bring the case, either in writing or verbally, to any member of the CityPC. The CityPC has 45 days within which to resolve the complaint to the satisfaction of all concerned. The CityPC is responsible for documenting and keeping files of all complaints handled by the CityPC

Final Stage, the Court of Law Arbitrates: If after 45 days following the lodging of the complaint with the CityPC, the aggrieved affected household does not hear from the CityPC, or if he/she is not satisfied with the decision taken on his/her complaint, the case may be brought to a court of law for adjudication. Decision by the court will be the final decision.

94. Decision on solving the complaints must be sent to the aggrieved APs and concerned parties and must be posted at the office of the People's Committee where the complaint is solved. After three days, the decision/result on solution is available at commune/ward level and after seven days at district or city level.
95. The above grievance redress mechanism will be disclosed and discussed again with the APs prior to loan appraisal by ADB and during the updating of this RP to ensure their understanding of the process. The HanoiPPMB and the DCARBs are responsible for following-up the grievance process of the APs.

7.0. LEGAL FRAMEWORK

96. The Project is financed by ADB; therefore, the ADB's SPS 2009 and some other policies will be applied with the aim for policy harmonization with other donors as well as the recipient country.

7.1. ADB Social Safeguards Policy Requirements

97. Objectives stated in the ADB's SPS 2009 on Involuntary Resettlement are to (i) avoid involuntary resettlement wherever possible; (ii) minimise involuntary resettlement by exploring project and design alternatives; (iii) enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to pre-project levels; and (iv) improve the standards of living of the displaced poor and other vulnerable groups.

98. Safeguard requirements 2 –Involuntary Resettlement: The guiding principles on ADB's policy on Involuntary Resettlement are prescribed in Safeguard Requirements 2 of the ADB SPS (2009). The objectives are to: (i) avoid involuntary resettlement wherever possible; (ii) minimise involuntary resettlement by exploring project and design alternatives; (iii) enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to pre-project levels; and (iv) improve the standards of living of the displaced poor and other vulnerable groups.
99. The involuntary resettlement requirements apply to full or partial, permanent or temporary physical displacement (relocation, loss of residential land, or loss of shelter) and economic displacement (loss of land, assets, access to assets, income sources, or means of livelihoods) resulting from (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas. Resettlement is considered involuntary when displaced individuals or communities do not have the right to refuse land acquisition that result to displacement. This occurs in cases where (i) lands are acquired through expropriation based on eminent domain; and (ii) lands are acquired through negotiated settlements, if expropriation process would have resulted upon the failure of negotiation.
100. Projects financed by ADB, including associated facilities that are financed by the government or other sources, are expected to observe the following policy principles:
- Screen early to identify involuntary resettlement impacts and risks and determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks.
 - Carry out meaningful consultations with displaced persons, host communities, and concerned non-government organizations. Inform all displaced persons of their entitlements and resettlement options and ensure their participation in various stages of the project especially vulnerable and poor groups. Establish a grievance redress mechanism to receive and facilitate resolution of the displaced persons' concerns. Support the social and cultural institutions of displaced persons and their host population.
 - Improve, or at least restore, the livelihoods of all displaced persons through (i) land-based resettlement strategies when affected livelihoods are land based where possible or cash compensation, assistance at replacement value for land when the loss of land does not undermine livelihoods; (ii) prompt replacement of assets with access to assets of equal or higher value; (iii)

prompt compensation, assistance at full replacement cost for assets that cannot be restored; and (iv) additional revenues and services through benefit sharing schemes where possible.

- Provide physically and economically displaced persons with needed assistance, including the following: (i) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities, and extension of project benefits to host communities; (ii) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (iii) civic infrastructure and community services, as required.
- Improve the standards of living of the displaced poor and other vulnerable groups, including women head of households, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing.
- Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.
- Ensure that displaced persons without titles to land or any recognisable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets.
- Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.
- Disclose both the draft and final resettlement plan in a form and language understandable to displaced persons and other stakeholders.
- Conceive and execute involuntary resettlement as part of a development project or programme. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation.

- Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.
- Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.

101. Calculation of full replacement cost will be based on the following elements: (i) fair current market value at the time of compensation, (ii) transaction costs, (iii) interest accrued, (iv) transitional and restoration costs, and (v) other applicable payments, if any. In the calculation, depreciation of structures will not be taken into account. It is expected that qualified and experienced experts will undertake the valuation of acquired assets.

102. Persons or households without formal legal rights nor recognised or recognisable claims to the acquired land are still entitled to be compensated for their loss of assets other than land, such as dwellings or other improvements on the land at full replacement cost, provided that they have occupied/used the land or structures in the affected land prior to the cut-off date.

103. Other ADB's cross-cutting policy themes: The Bank's other cross-cutting policy themes consist of: (i) Gender and Development (1998) which adopts gender mainstreaming as a key strategy for promoting gender equity, and for ensuring that women participate and that their needs are explicitly addressed in the decision-making process for development activities; (ii) Public Communications Policy (2011) that seeks the active participation of affected people and other stakeholders during the development and review of safeguard policies on ADB-assisted programs and projects. The project executing agency shall make available the resettlement plan to affected people, consistent with ADB's OM Section F1/OP (March 2010); and (iii) Accountability Mechanism (2012) which is part of ADB's continued efforts to enhance its capacity in responding to and/or resolving the problems associated with the implementation of its policies in all programs or projects it assists. It consists of a consultation phase and a compliance review phase, by which the problems or issues raised by the affected people and/or stakeholders are investigated and resolved.

7.2. Regulations of Vietnamese Government on resettlement

104. The Constitution of the Socialist Republic of Vietnam (2013) confirms that ownership and protection of ownership of citizens of their houses. Besides, the Government has issued a number of law, decrees, and regulations to form the

legal framework for land acquisition, assistance, compensation, and resettlement. Primary documents include:

a. Law

- Land Law (2013) No. 45/2013/QH13 approved by the National Assembly dated November 29 2013.

b. Government's decrees

- Decree No. 47/2014/ND-CP dated May 15 2014 by the Government on compensation, assistance, and resettlement in the event of land recovery by the State.
- Decree No. 43/2014/ND-CP dated May 15 2014 guiding the implementation of land Law 2013.
- Decree No. 44/2014/ND-CP dated May 15 2014 by the Government on the land prices.
- Decree No. 38/2013/ND-CP dated April 23 2013 on the management and use of Official Development Assistance (ODA) and concessional loans of donors.
- Decree No. 14/2014/ND-CP dated February 26 2014 by the government detailing the implementation of the Electricity Law regarding electricity safety.

c. Hanoi PC's decisions

The current regulations on compensation, support and resettlement of local government will be applied in RP of projects include:

- Decision No 108/2009/QD-UBND on Sep/29th/2009 promulgating regulations on compensation, support and resettlement when the State recovers land in the area of Hanoi
- Decision 02/2013/QD-UBND dated January 07, 2013; amending and supplementing a number of articles issued by Decision 108/2009/QD-UBND dated September 29, 2009 by People's committee of Hanoi on compensation, support and resettlement when the State reclaims land in the area of Hanoi;
- Decision N°48/2011/QD-UBND Dec/26th/2011 Decision on amendment of a number of articles of the Regulation issued together with Decision N°02/2010/QD - People's Committee dated Jan/18th/2010 on land acquisition, land allocation and land lease, conversion of land use purpose to carry out investment projects and housing in rural population in the area of Hanoi.
- Decision 420/QD-SXD Decision, dated January 17, 2013; announcing price of new building of houses, works and structures as the basis for compensation, as the State reclaims land in the area of Hanoi;

- Decision N°51/2012/QD-UBND dated Dec/28th/2012 regulating the price of land in the area in Hanoi 2013.
- Notification N° 7038/STC-BG dated Dec/31th/2012 of the Hanoi Finance Department of on the unit price compensation trees, crops and livestock on the land with water surface clearance service of the province Hanoi in 2013.
- Notification N°4331/STC-QLCS of the Hanoi Finance Department on Sep/29th/2011 on the basis unit prices stabilize life support when the State recovers land in the area of Hanoi in 2012.

105. Laws, decrees and decisions related to information disclosure include Land Law No. 45/2013/QH13, Article 68, which requires announcement to the displaced persons at least 90 to 180 days before acquisition of agricultural land and non-agricultural land, respectively.

106. Decree No. 14/2014/ND-CP guiding in detailed the implementation of some articles of Electricity Law regarding electricity safety of high-voltage grid.

107. At the local level, provinces/cities issue decisions and other legal documents related to planning and implementation of resettlement at provincial/city level. The decisions by PPCs/City PCs stipulating the compensation rates for land are prepared for a period of five years with the principle to be close to the market prices. Such decisions are issued on January 1st of the first year of the 5-year period. This price framework will be adjusted in case of discrepancy/variation. The official land price must not be 20% higher than the maximum price or 20% lower than the minimum price of the land price framework provided by the Government.

7.3. Comparison between the Relevant Provisions of the GOV's regulations and the 2009 Safeguard Policy Statement of ADB on Social Safeguards

108. There is basic congruence between Viet Nam's laws and ADB's Resettlement Policy especially with regard to the entitlement of persons with legal rights/titles. Existing legislation provides guidance in (i) determining market/replacement rates and payment of compensation, assistances for various types of affected assets; (ii) options for land-for-land and cash compensation assistance; (iii) provision of relocation assistance and support to displaced households during the transition; (iv) provision of resettlement land and housing with secure tenure; (v) additional assistance for severely affected and vulnerable

households; (vi) assistance to livelihood restoration and training; and (vii) notification/disclosure, consultation, and grievance mechanisms.

109. However, ADB Policy does not consider the absence of legal rights of affected persons on the acquired land as an impediment to receiving compensation for other assets and for rehabilitation assistance. Non-registration of an affected persons' business also does not bar them from being assisted in restoring their business.

110. Moreover on ADB's 2009 SPS, the 2013 Land Law has no equivalent provisions on the following principles for Indigenous Peoples Safeguards.

- (i) Undertake a culturally appropriate and gender-sensitive social impact assessment or use similar methods to assess potential project impacts, both positive and adverse, on Indigenous Peoples. Give full consideration to options the affected Indigenous Peoples prefer in relation to the provision of project benefits and the design of mitigation measures. Identify social and economic benefits for affected Indigenous Peoples that are culturally appropriate and gender and inter-generationally inclusive and develop measures to avoid, minimize, and/or mitigate adverse impacts to Indigenous Peoples.
- (ii) Ascertain the consent of affected Indigenous Peoples communities to the following project activities: (i) commercial development of the cultural resources and knowledge of Indigenous Peoples; (ii) physical displacement from traditional or customary lands; and (iii) commercial development of natural resources within customary lands under use that would impact the livelihoods or the cultural, ceremonial, or spiritual uses that define the identity and community of Indigenous Peoples. For the purposes of policy application, the consent of affected Indigenous Peoples communities refers to a collective expression by the affected Indigenous Peoples communities, through individuals and/or their recognized representatives, of broad community support for such project activities. Broad community support may exist even if some individuals or groups object to the project activities.
- (iii) Avoid to the minimum extent possible, any restricted access to and physical displacement from protected areas and natural resources. Where avoidance is not possible, ensure that the affected Indigenous Peoples communities participate in the design, implementation, and monitoring and evaluation of management arrangements for such areas and natural resources and that their benefits are equally shared.

111. Provisions and principles adopted in this project will supplement the provisions of relevant decrees currently in force in Viet Nam wherever a gap exists, consistent with Decree N°38/20B/ND-CP which provides that in case of

“discrepancy between any provision in an international treaty on ODA, to which the Socialist Republic of Viet Nam is a signatory, and the Vietnamese Law, the provision in the international treaty on ODA shall take precedence” (Article 46, Item 1).

112. Key differences between ADB Resettlement Policy and Viet Nam’s resettlement legislation, and policy of the project are outlined in the table below.

Table 13. Comparison between the Relevant Provisions of 2013 Land Law and the 2009 Safeguard Policy Statement of ADB on Social Safeguards

ADB SPS 2009	Land Law 2013; Decree 47/2014/ND-CP	Policy Gaps from ADB 2009 SPS	Reconciled Policy for the Project
Objectives			
To avoid involuntary resettlement whenever possible; to minimize involuntary resettlement by exploring project and design alternatives; to enhance, or at least restore, the livelihoods of <u>all displaced persons</u> ² in <u>real terms</u> relative to pre-project levels; and to improve the standards of living of the displaced poor and other vulnerable groups ³ .	Compensates land users that fulfill the conditions for compensation as prescribed by Article 75, legitimate owners of land-attached assets (Article 88.1), persons/entities that plant/grow forests funded by state budget (Article 90.1.d). -All land users (defined in Article 5) whose land is recovered (including affected workers) are considered for receiving State support (Article 83.1 Land Law 2013 and Article 19 Decree 47/2014/ND-CP). State support is defined as assistance to those whose land is recovered in order to stabilize their livelihoods, production and development.	While there is no explicit policy, land recovery in Viet Nam in practice avoids or minimize involuntary resettlement. However, the 2013 Land Law does not provides compensation to land users who violate land legislation (Article 64), and owners of illegally established land-attached assets (Article 92.2), and unregistered land users of agricultural land after 1 July 2004 (Article 77.2). There is also no regulation to compensate unregistered business for income losses due to business disruption and support in re-establishing their business elsewhere.	Since the Project shall be financed by ADB loan, it will adopt the objectives of the Bank’s 2009 SPS, consistent with clause 2 of Article 87 of the 2013 Land Law which states that... "For projects using loans from foreign and international organizations for which the State of Vietnam has committed to a policy framework for compensation, support, resettlement, that framework is applied."
	<i>(For displaced poor and other vulnerable groups)</i> -In case the amount of	This provision has no conflict with ADB’s 2009 SPS as it is on the objective of replacement cost that will be incorporated in the	

² Displaced persons include persons who lost the land they occupy in its entirety or in part who (i) have formal legal rights to the land lost, (ii) have claims to such lands that are recognized or recognizable under national laws, or (iii) have neither formal legal rights nor recognized or recognizable claims to such land

³ Vulnerable groups are those who may be differentially or disproportionately affected by the project because of their disadvantaged or vulnerable status.

	<p>compensation/support is not enough for resettled people to buy the minimum resettlement plot, requires the State to support the balance (Article 86.4 Land Law 2013 and Article 27 Decree 47)</p> <p>-Requires to compensate, support, and resettle to stabilize livelihoods of people whose recovered land is located in areas that pose risk to human life (Article 87.3 of Land Law 2013 and Articles 19, 20, and 21 Decree 47).</p>	Project policy.	
	<p><i>(Policy principle not limited to displaced people)</i></p> <p>-Guarantees to develop policies to facilitate those who are directly involved in agricultural, forestry, aquaculture, salt production and who are lacking the land for production due to change of land use structure and economic structure (Article 26.4). Such households/ individuals shall be granted certificate of land use right, houses and other land-attached assets without having to pay land use fee (Article 101.1).</p> <p>-Requires the State to develop policies on residential land, land for public activities for ethnic minorities in accordance with customs, traditions, cultural dignity and practical situation and assist ethnic minorities directly involved in agricultural production to have land for agricultural production (Article 27)</p>	<p>Although there is no equivalent policy in ADB's 2009 SPS, this provision is consistent with Bank's overarching goal in poverty reduction.</p> <p>Comment on this provision is the same as above.</p>	
Scope and Triggers			
Physical displacement (relocation, loss of residential land, or loss of shelter) and economic displacement (loss of land, assets, access to	<p>-Covers both physical and economic displacement due to land recovery (involuntary acquisition of land)</p> <p>-Considers impacts from change of land use structure and</p>	The 2013 Land Law is short in matching the coverage of 2009 SPS since Article 94 and Article 157 only provide compensation for legally recognized land users.	As in the comment above, the project will adopt the provision in the Bank's 2009 SPS, consistent with clause 2 of Article 87 of the 2013 Land Law which states

<p>assets, income sources, or means of livelihoods) as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas. It covers them whether such losses and involuntary restrictions are full or partial, permanent or temporary.</p>	<p>economic structures (Article 26.4) -Covers both temporary and permanent land recovery -Covers remaining investment costs on land (Article 76). -Covers compensation for the damage caused by limited land use and damage on land-attached assets in case of restrictions due to establishment of safety corridors (Articles 94 and 157).</p>		<p>that... "For projects using loans from foreign and international organizations for which the State of Vietnam has committed to a policy framework for compensation, support, resettlement, that framework is applied."</p>
<p>Policy Principles</p>			
<p>1. Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks.</p>	<p>-Requires that in the preparation of the district annual land use plan, the area and location of the land to be recovered to implement socioeconomic development projects should be assessed (Article 40.4.c).</p>	<p>-However, the Land Law does not require for screening of projects in terms of significance of involuntary resettlement impacts, with corresponding requirements for degree of preparation, implementation and monitoring. -Land Law 2013 (Article 87.3) and Decree No. 47/2014/ND-CP require that depending on the degree impacts, separating compensation, assistance, and resettlement activities into a stand-alone project will be decided.</p>	<p>All subprojects shall be screened and categorized according to the degree of their involuntary resettlement impacts, physical and social. It shall determine whether EMs or have collective attachments in the Project areas, and whether impacts on EMs are likely.</p>
<p>2. Carry out meaningful consultations with affected persons, host communities, and concerned non-government organizations. <u>Inform all displaced persons</u> of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs.</p>	<p>Starts the conduct of public consultation (including affected land users) with the preparation of the district-level land use plan (Article 43). -Between 90-180 days before issuing decision on land recovery, State agencies are required to notify the affected land users about the land recovery (including recovery plan, investigation, survey, measurement and inventory)(Article 67). -Requires that once the plan for compensation has been</p>	<p>Most of the provisions on consultation in the Land Law are consistent with 2009 SPS. What is missing is the provisions are the consultation with host communities and support for social and cultural institutions. It has no provision requiring broad community support from the EMs on Project with direct significant impacts on them.</p>	<p>Participatory consultations will include non-government organizations, host communities and civic organizations will be provided with project information booklets or brochures written in language largely understand by affected persons.</p>

<p>Establish a grievance redress mechanism⁴ to receive and facilitate resolution of the affected persons' concerns. Support the social and cultural institutions of displaced persons and their host population.</p>	<p>approved, each person whose land is recovered (<u>and meets the conditions for compensation</u>) should be notified of the decision on compensation. Requires the decision to clearly show the level of compensation and support, arrangement of the resettlement land or house (if any), time and place of payment for compensation or support, time to arrange resettlement land or house and time of hand over, and site clearance. The organization in charge of compensation/resettlement conducts consultations with affected land users and record opinions/ comments raised during the consultations. In case of disagreement, the Fatherland Association will attempt to persuade those who disagree (Article 69).</p> <p>-Gives citizens the right to supervise land management including land recovery, compensation, support and resettlement. The competent agency that receives the report from the citizen is required to act and respond back to the citizen who filed the report (Article 199).</p> <p>-Allows persons whose land is recovered to complain following the procedures and structures under the Complaints' Law. Complaints against agencies/staff involved in land management (including land recovery) can be sent to specific agencies depending on the nature of the complaint and staff involved (Article 209).</p> <p>-Commits to develop policies on</p>		
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⁴The grievance redress mechanism should address affected persons concerns and complaints promptly using an understandable and transparent process that is gender responsive, culturally appropriate and readily accessible to the affected persons at no cost and without retribution. The mechanism should not impede access to the country's judicial or administrative remedies. It should also pay particular attention to the impacts on vulnerable groups.

	<p>residential land, land for public activities for ethnic minorities in accordance with customs, traditions, cultural dignity and practical situation and assist ethnic minorities directly involved in agricultural production to have land for agricultural production (Article 27).</p>		
<p>3. Improve, or at least restore, the livelihoods of <u>all displaced persons</u> through (i) land-based resettlement strategies when affected livelihoods are land based where possible or cash compensation at <u>replacement value</u> for land when the loss of land does not undermine livelihoods, (ii) prompt replacement of assets with access to assets of equal or higher value, (iii) prompt compensation at <u>full replacement cost for assets</u>⁵ that cannot be restored, and (iv) additional revenues and services through benefit sharing schemes where possible</p>	<p>-Requires that compensation be made by allocating new land with the same land use purpose with the recovered land. If there is no land available for compensation, the land users will receive cash compensation calculated on the specific land price. Requires that compensation must be democratic, objective, equal, public, timely and legally compliant. (Article 74.2)</p> <p>-Requires that specific price of the affected plot should be determined and independent/licensed valuers should be engaged in establishing cash compensation rates (Articles 114.4, 115, and 116 of Land Law 2013 and Decree 44/2014/ND-CP). However, the requirement of engaging independent/licensed valuers is still vague: article 114, provision 3 says that the province-level land administration agency is entitled to (instead of “must”) hire organizations having consultancy functions for advising on the determination of specific land prices).</p>	<p>There are inconsistencies noted on these provisions in Land Law that do not meet this Bank policy. It does not prescribe for consulting land users on land transactions, land value by types, land titles, land use, cropping patterns and crop production, availability of land in the project area and region, and other related information where market conditions are absent or in a formative stage in determining replacement value of affected assets.</p> <p>-Does not allow compensation of certain structures as per Article 92, such as:</p> <ul style="list-style-type: none"> > land-attached assets which are illegally established > Land-attached assets which are illegally created or created after the notice of land recovery by a competent state agency takes effect. > Technical infrastructure, social infrastructure and other construction facilities which are no longer in use. 	<p>Livelihoods and socio cultural systems of all displaced persons shall be restored, improved and culturally appropriate from pre-Project level. Affected livelihoods based on land shall be restored through: (i) land-based resettlement strategies, or cash compensation at replacement value for land when the loss of land does not undermine their livelihoods; (ii) prompt replacement of assets of equal or higher value, (iii) prompt compensation at full replacement cost for assets that cannot be restored, (iv) employment in construction works; and (v) restoration of social networks of displaced persons.</p>

⁵ The calculation of full replacement cost will be based on the following elements: (i) fair market value, (ii) transaction costs, (iii) interest accrued, (iv) transitional and restoration costs, and (v) other applicable payments, if any. Where market conditions are absent or in a formative stage, the borrower will consult with the displaced persons and host populations to obtain adequate information about recent land transactions, land value by types, land titles, land use, cropping patterns and crop production, availability of land in the project area and region, and other related information. Baseline data on housing, house types, and construction materials should be collected. Qualified and experienced experts will undertake the valuation of acquired assets. In applying this method of valuation, depreciation of structures and assets should not be taken into account (ADB SPS 2009, Appendix 2).

	<p>-Includes the cost for moving due to land recovery in the compensation (Article 91).</p> <p>-Requires the payment of additional compensation in case of late payment (after 30 days from decision on the land recovery)(Article 93)</p>		
<p>4. Provide physically and economically displaced persons with needed assistance, including the following: (i) secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities; (ii) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (iii) civic infrastructure and community services, as required</p>	<p>-Entitles affected land users to also receive State support, including support for stabilizing livelihoods and production, support for training and career change and facilitating search for jobs, support for resettlement and other support (Article 83).</p> <p>-Requires resettlement sites to have uniformly developed infrastructure, ensuring construction standards, codes in accordance with the conditions, customs, practices of the specific regions, areas (Article 85.2).</p>	<p>The Land Law does not include compensation of unregistered owners of commercial structures/businesses for (i) the cost of re-establishing their business/commercial activities elsewhere; (ii) net income loss during the transition period, and (iii) cost of transferring and reinstalling plant, machinery, or other equipment.</p>	<p>Physically and/or economically displaced persons shall be provided with: (i) land use right certificates in relocation land, better housing at resettlement sites with comparable access to employment, forest resources, and/or production opportunities; (ii) transportation for transfer to resettlement sites and food subsidies to APs during transition and development assistance, such as land development, training, or employment opportunities; and (iii) access to social infrastructure and community services, as required</p>
<p>5. Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing.</p>	<p>-In case the amount of compensation/support is not enough to buy the minimum resettlement plot (as normally the case for poor households), requires the State to support the balance (Article 86.4)</p> <p>-Entitles people whose recovered land is located in areas that pose risk to human life (defined in Article 65.1) to receive compensation, support, resettlement to stabilize livelihoods (Article 87.3)</p> <p>-State guarantees to develop policies to facilitate those who are directly involved in agricultural, forestry, aquaculture, salt production and who are lacking the land for</p>	<p>While the 2009 SPS considered them as such, women, households headed by a woman with young dependents, people with disabilities, the poor and ethnic minority people are not automatically considered as vulnerable under the Land Law. Moreover, the Land Law has no explicit requirement to identify the poor and other vulnerable groups and to propose and implement targeted measures to assist them. in the cases of land recovery.</p>	<p>CPC shall issue certificates confirming their poor social status;</p>

	<p>production due to change of land use structure and economic structure (Article 26.4). Such households/ individuals shall be granted certificate of land use right, houses and other land-attached assets without having to pay land use fee (Article 101.1).</p> <p>-State to develop policies on residential land, land for public activities for ethnic minorities in accordance with customs, traditions, cultural dignity and practical situation and assist ethnic minorities directly involved in agricultural production to have land for agricultural production (Article 27).</p>		
6. Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.	-Article 73 of the Land Law covers negotiated settlement for land transfer for projects, facilities for project and business purposes..	Land Law 2013 and Decrees 43/2014/ND-CP, 44/2014/ND-CP and 47/2014/ND-CP have neither a provision for procedure nor regulation on negotiated settlement.	Per 2009 SPS (Appendix 2, para. 26), the borrower/client will ensure that any negotiations with displaced persons openly address the risks of asymmetry of information and bargaining power of the parties involved in such transactions. The borrower/client will agree with ADB on consultation processes, policies, and laws applicable to such transactions; third-party validation; mechanisms for calculating the replacement costs of land and other assets affected; and record-keeping requirements.
7. Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets	-For relocating households who are not eligible for compensation with residential land, but have no other place to live, the State sells, leases, provides rent-to-own houses or allocates land with land use fee (Article 79.2).	The Land Law is inadequate in meeting this 2009 SPS policy. Articles 88 and 92 do not provide compensation to non-legitimate owners of land-attached assets for non-land assets.	The absence of legal rights of affected persons on the acquired land is not a hindrance to receiving compensation for other assets and for rehabilitation assistance.

8. Prepare a <u>resettlement plan</u> ⁶ elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule	The Land Law requires for a compensation plan that shows the level of compensation and support, arrangement of the resettlement land or house (if any), time and place of payment for compensation or support, time to arrange resettlement land or house (if any) and time to hand over the recovered land to the organization in charge of compensation.	At the level required under the 2009 SPS, there is no requirement for preparing a resettlement plan or Ethnic Minority Development Plan. Compensation plan is prepared only after the detailed measurement survey (DMS), and there is no requirement for preparing a draft resettlement/compensation plan.	Resettlement plan shall be prepared in case of land acquisition, complete with necessary information.
9. Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders.	-Requires that the compensation plan is disclosed to the affected land user and the community where land recovery will be made.	This provision in the Land Law is somewhat similar with 2009 SPS. However, the contents of compensation plan may not be comparable with the level of detail in 2009 SPS since the Land Law provides the general guidelines on land recovery for projects assisted by multilateral development institutions and/or projects financed by the government.	Disclose a draft RP including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final RP and its updates to affected persons, and other stakeholders.
10. Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone	-Integrates resettlement planning into the district annual land-use planning, which is part of the provincial and national socioeconomic development plans.	This requirement in the Land Law provides for national coverage whereas the 2009 SPS is specific to projects assisted by ADB.	RP shall be prepared as part of the Project or it may be a stand-alone document for implementation, showing the full cost of execution if the impacts shall displace persons.

⁶SPS (2009) requires that a resettlement plan should basically include the following (i) project description, (ii) scope of land acquisition and resettlement, (iii) socioeconomic information and profile, (iv) information disclosure, consultation and participation, (v) grievance redress mechanisms, (vi) legal framework, (vii) entitlements, assistance and benefits, (viii) relocation of housing and settlements, (ix) income restoration and rehabilitation, (x) resettlement budget and financing plan, (xi) institutional arrangements, (xii) implementation schedule and (xiii) monitoring and reporting

operation.			
11. Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation	-Requires that land recovery be conducted only after the construction of houses or infrastructure in the resettlement area is completed (Article 85). -Requires affected land users to handover the land within 30 days <u>after agreeing</u> to the compensation/allowances offered. Agencies making the compensation are required to pay compensation within 30 days. In case of delay, additional compensation for delayed payment should be made.	Matched against the 2009 SPS, the Land Law has no explicit condition that the affected landuser should have received the compensation/allowance before handing over the affected land/asset.	Compensation/allowances shall be received by the APs, regardless of their ethnicity, before the handing over of their land or removal of their affected assets.
12. Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved. Disclose monitoring reports.	-Empowers citizens to supervise and report on breaches in land management and land use including land recovery, compensation, support and resettlement (Article 199). -Mandates the government to develop a system for monitoring and evaluation on land management and land use including land pricing, land recovery, settlement of disputes, etc. to be sent periodically to the government and the National Assembly (Article 200).	Article 199 of the Land Law is consistent with the requirement of 2009 SPS. However, Article 200 does not require for the monitoring and evaluation of the resettlement outcomes and the impacts on standards of living on displaced persons and in the communities of the EMs. Likewise, it has requirement to engage an external expert to monitor for projects with significant involuntary resettlement/land recovery impacts.	Mechanism for resettlement monitoring and evaluation shall be established. Provision for adequate and skilled personnel shall be employed as qualified and experienced experts shall be hired for external monitoring if involuntary resettlement has significant impacts to displaced persons.

7.4. Project principles

113. In order to harmonize the above-mentioned gaps between the regulations of GoV and ADB's SPS 2009, the Article 87 of the Land Law 2013 requires that *"For projects using loans from international or foreign organizations for which Vietnam has committed to a policy framework for compensation, support and resettlement, that framework policy shall apply"*. The regulations of the Project in this RP are based on the approved Resettlement Policy Framework of the project. Details are as follows:

- Involuntary resettlement and impacts on land, structures and other fixed assets will be avoided or minimized where possible by exploring all alternative options.

- Compensation and assistance will be based on the principle of replacement cost at the time of implementation.
- Severely affected household is considered when they are losing 10% or more of the household's assets shall be considered as threshold.
- Displaced persons without title or any recognizable legal rights to land are eligible for compensation for non-land assets at replacement cost.
- Residential and agricultural land for replacement should be close to the previous places as much as possible and be suitable to displaced persons.
- Meaningful consultation will be carried out with the displaced persons and concerned groups and ensure participation from planning up to implementation. The comments and suggestions of the affected persons and communities will be taken into account.
- The resettlement plan will be disclosed to affected persons in a form and language(s) understandable to them
- Resettlement identification, planning and management will ensure that gender concerns are incorporated.
- Special measures will be incorporated in the resettlement plan to protect socially and economically vulnerable groups such as households headed by women, children, disabled, the elderly, landless and people living below the generally accepted poverty line.
- Existing cultural and religious practices will be respected and preserved, to the maximum extent practical.
- Culturally appropriate and gender-sensitive social impact assessment and monitoring will be carried out in various stages of the project.
- Resettlement transition stage should be minimized. Restoration measures will be provided to displaced persons before the expected starting date of construction in the specific location.
- Budget for payment of compensation, assistance, and resettlement and support will be prepared sufficiently and made available during project implementation and by the provinces.
- Reporting and independent monitoring should be defined clearly as part of the management system of resettlement. Independent assessment of the duration and results of the land recovery should be carried out.
- The EVN Hanoi will not issue notice of possession to contractors until the EVN Hanoi are officially confirmed in writing that (i) payment has been fully

disbursed to the displaced persons and rehabilitation measures are in place; (ii) already-compensated, assisted displaced persons have cleared the area in a timely manner; and (iii) the area is free from any encumbrances. The satisfactory resettlement to be ascertained by the independent monitor before start of the civil works.

- Cut-off date is the date of completing DMS for which land and/or assets affected by the project are inventoried.

8.0. PROJECT'S ENTITLEMENTS, ASSISTANCE, AND BENEFITS

114. Eligibility will be determined with regard to the cut-off date, which is taken to be the date of completing DMS for which land and/or assets affected by the projects are measured. The affected persons will be informed of the cut-off date for each project component, and any people who settle in the project area after the cut-off date will not be entitled to compensation and/or assistance under the project.

115. In addition, the extent of eligibility for compensation with regard to land is determined by legal rights to the land concerned. There are three types of affected persons: (i) persons with LURCs to land lost in entirety or partially; (ii) persons who lost land they occupy in its entirety or partially who do not currently possess a LURC but have a claim that is recognizable under national laws; or (iii) persons who lost land they occupy in its entirety or partially who do not have any recognizable claim to that land. Affected persons included under (i) and (ii) above shall be compensated for the affected land and assets upon land. Affected persons included under (iii) shall not be compensated for the affected land, but for the affected assets upon land and are entitled to assistance if they have to relocate.

8.1. Entitlements

116. Households or individuals with sufficient basis for compensation will be compensated for land and structure losses equivalent to 100% of the price of such assets. Those without sufficient legal rights are also assisted as described in the entitlement matrix below.

Table9. Entitlement Matrix

Entitled Persons	Type & Level Of Impact	Number of AH	Compensation Policy	Implementation Issues
A. AGRICULTURAL LAND				
A.1 Permanently affected agricultural land				
Owners with LURC, owners in process of acquiring LURC, owners eligible to acquire LURC AND public organizations	More than 10 percent or more of total productive landholding affected	03 HHs	<p>a/ As a priority, allocation of replacement land: (i) equal in area to affected land up to a maximum of land quota in the locality; (ii) of same category (or productive capacity); (iii) at a location satisfactory to affected person; (iv) with full title in the names of both the household head and his/her spouse; and (v) without charge for taxes, registration and land transfer charges; and</p> <p>b/ Economic rehabilitation package (see G, below);</p> <p>Or, if affected person opts, a/ Cash compensation at replacement cost); and, b/ Economic rehabilitation package (see G, below).</p>	<p>If remaining land holding is not economically viable i.e. is too small to be economically cultivated, the project will acquire the entire land holding and not just the affected portion. The size of the entire holding will be the basis for providing replacement land or cash compensation. The economically remaining land area will be identified by DCARBs for each case.</p> <p>DCARBs will determine whether the remaining holding can be viable or not and take care of this issue during DMS implementation.</p> <p>Full payment for affected households at least 01 months before site clearance</p>
	Less than 10 percent of total productive landholding affected	16 HHs	<p>Cash compensation at replacement cost at current market prices for affected portion if remaining holding is viable; or</p> <p>Cash compensation at replacement cost at current market prices for entire landholding, if remaining holding is not viable.</p>	<p>Implemented by DCARBs Decided by DPCs</p>

A.2 Impact on agricultural land in RoW				
All affected households have agricultural land in RoW	Partially impact or totally impact	None	a/ No compensation for land. b/ Compensation for crop, trees and others at market price. c/ Support for utilisation of restricted land	Affected land in RoW will be rehabilitated by contractors after the project construction and land in RoW could be used with the restricted purposes. (Described in Decree 81, 2009, article 1) Affected households can be required to cut affected trees; project will pay for this work.
B. RESIDENTIAL AND/OR NON-AGRICULTURAL LAND (e.g., commercial)				
Permanently affected residential and/or non-agricultural land				
Owners with LURC, owners in process of acquiring LURC, owners eligible to acquire LURC AND public organizations	Loss of residential and/or non-agricultural landholding without houses and structures built thereon	None	a/ As a priority, allocation of replacement land: (i) equal in area to affected land up to a maximum of land quota in the locality; (ii) at a location satisfactory to affected person; (iii) with full title in the names of both the household head and his/her spouse; and (iv) without charge for taxes, registration and land transfer charges; and Or, if affected person opts, a/ Cash compensation at replacement cost.	If remaining land holding is not economically viable i.e. is too small to build house, structures, the project will acquire the entire land holding and not just the affected portion. The size of the entire holding will be the basis for providing replacement land or cash compensation. The economically remaining land area will be identified by DCARBs for each case. DCARBs will determine whether the remaining holding can be viable or not and take care of this issue during DMS implementation. Full payment for affected households at least 01 months before site clearance
	Loss of residential land/or non-	None	a/ As a priority, allocation of replacement land: (i) equal in area to affected land up to a maximum of land quota in the locality; (ii) at a location satisfactory	If remaining land holding is not economically viable i.e. is too small to build house, structures, the project will acquire the entire

	agricultural landholding with houses and structures built thereon.		to affected person; (iii) with full title in the names of both the household head and his/her spouse; and (iv) without charge for taxes, registration and land transfer charges; and b/ Compensation for houses, structures on permanently affected land; Or, if affected person opts, a/ Cash compensation at replacement cost); and, b/ Compensation for houses, structures on permanently affected land.	land holding and not just the affected portion. The size of the entire holding will be the basis for providing replacement land or cash compensation. The economically remaining land area will be identified by DCARBs for each case. DCARBs will determine whether the remaining holding can be viable or not and take care of this issue during DMS implementation. Full payment for affected households at least 01 months before site clearance
C.MAIN HOUSES AND OTHER STRUCTURES IN RoW				
<i>C.1. Dismantled houses and other structures</i>				
All affected households have houses and structures which are dismantled	Totally or partially dismantled but the rest portion will not ensure the safety so the houses or structures will be removed and rebuilt.		a/ Compensation for the whole houses, structures by the replacement price b/ Assistance for removing (if relocation).	Full payment for affected households at least 01 months before site clearance
	Partially dismantled but the rest portion will not affect		a/ Compensation for the part of houses or structures dismantled. b/ Allowances for partially dismantled houses/	Full payment for affected households at least 01 months before site clearance

	the safety so the houses or structures don't have to remove.		structures and reuse	
D.Compensation for affected trees and crops				
Land owners/ Users with lease whose trees and crops are affected	Affected annual crops and rain-fed crops, aquaculture		Compensation for annual crops and aquatic equivalent to current market value of crops / aquaculture at the time of compensation.	Full payment for affected households at least 01 months before site clearance
			The owner/grower of perennials, trees and crops will be compensated according to the average market price of trees and crops based on average annual volume and/or replacement costs applicable to perennials.	Full payment for affected households at least 01 months before site clearance
Land owners/ Users with lease whose trees and crops are affected	Trees are allowed to grow under ROW		The owner/grower of perennial crops and trees under ROW that must be cut and trimmed will be compensated at 30% of the average market price of fruit trees based on the average annual volume and/or replacement cost applicable to perennial crops. Owner/grower of rain-fed crops affected under the ROW will be compensated based on annual average volume and seasonal affected.	Full payment for affected households at least 01 months before site clearance
G. REHABILITATION ASSISTANCE				
G.1. Transportation assistance				
All affected households have houses and structures	Assistance for removing	None	- For organizations: funding for dismantling, moving and installation as stipulated by the Compensation Committee of the project who will determine the level of support for each specific case. In case of difficulties	Value of assistance to be determined during resettlement plan implementation.

which are dismantled and have to remove			they may hire consultants to determine this cost.	
<i>G.2. Assistance for rehabilitation and production</i>				
Severely affected households, displaced from housing or losing 10 percent or more of their productive, income generating irrespective of tenure status.	Assistance to restore livelihoods and incomes following acquisition of land or other productive assets		<p>affected households directly cultivate on the affected land to be entitled:</p> <p>(i) Losing from 10 to 30% of land holding: Cash assistance equal to 30 kg of rice (valued at market price) per month per household member for 3 months, if not relocating; for 6 months if relocating; and for 12 months if relocating in a harsh living condition area;</p> <p>(ii) Losing more than 30% to 70% of total land holding. Cash assistance equal to 30 kg of rice (valued at market price) per month per household member for 6 months, if not relocating; for 12 months if relocating; and for 24 months if relocating in a harsh living condition area;</p> <p>(iii) Losing more than 70% of total land holding Cash assistance equal to 30 kg of rice (valued at market price) per month per household member for 12 months, if not relocating; for 24 months if relocating; and for 36 months if relocating in a harsh living condition area; AND</p>	<p>Value of in kind assistance to be determined during resettlement plan implementation.</p> <p>Income Restoration Programmes will be designed during project implementation with the assistance of an agency specialised in livelihoods/labour or vocational assistance and with the active involvement of the affected households.</p>
<i>G.3 Assistance for job changing and creation</i>				
affected households with agricultural land required	Assistance for job changing and	None	Cash assistance equal to 5 time of compensation value for affected land area but not exceed 5 (five) times of land quota in locality.	Eligibility will be confirmed during DMS.

permanently	creation.		If affected person has demand for training, he/she will be entitled to a free training course	
<i>G.4. Special allowance for social and economically vulnerable households</i>				
Vulnerable affected households (the poor, war invalid person, woman headed household, the elderly)	Assistance to the poor and vulnerable households to improve their social and economic conditions.	01 HH	For other vulnerable affected persons, assistance of VND 5,000,000 per household to improve their social and economic conditions	Eligible households are those who are classed as vulnerable
<i>G.7 Assistance for losses on Business and Employment</i>				
Business Enterprise/Business HH being forced to cease operating as business in current location	Assistance for re-establishing business in different location or development of different business activity.	None	Assistance equivalent to 30% of after-tax income in a year according to the average income of the 03 years preceding confirmed by the tax authorities; In case the business time is less than 3 years, the assistance is based on the average amount during the actual business duration.	Value of assistance to be determined during resettlement plan implementation.
Waged employees made redundant	Assistance for changing and finding another job	None	The allowance is equivalent to the minimum wage multiplied by the level of employment of the respective occupation in accordance with current regulations of the State in a maximum period of 06 months.	Value of assistance to be determined during resettlement plan implementation.

8.2. Addressing the gender issues

117. The EVN Hanoi, through the HPPMB with assistance from PICs, will carry out the following specific actions to address gender issues in the subprojects:
- i. During the updating of this resettlement plan, both men and women will participate in the discussions during public meetings, providing inputs to DMS, and consultations on resettlement activities and relocation options.
 - ii. A male representative and a female representative of the affected households will be included as participant in the resolution of grievances and complaints.
 - iii. Gender issues will be included in the training on project implementation by PICs to concerned personnel of the Project Management Unit, EVN Hanoi, and HPPMB.
 - iv. Special attention will be extended to elderly, disabled and women-headed households during relocation and in the provision of assistance as defined in the project policy.
 - v. Disaggregated monitoring indicators by gender will be developed for monitoring social benefits, economic opportunities, livelihood, and resettlement activities as well as in the restoration of livelihoods and living standards during post-project implementation.

8.3. Assistance to vulnerable households

118. This resettlement plan declared that not any affected person shall become vulnerable due to land acquisitions. If during the updating of this document, it becomes apparent that there are affected persons that shall become vulnerable due to the project; they shall receive applicable allowances as provided for in the Entitlement Matrix, on top of their compensation. They will be given the privilege to participate in the income restoration that will be designed by the project with their active involvement. In order to ensure that they share the same benefits as the other affected households, they will be assisted in appointing their representatives in each commune or neighborhood clusters to participate in any meeting or consultations related to the project, specifically on resettlement, compensation and assistance and income restoration.

8.4. Special considerations

119. Between the periods after the cut-off dates were established in each district towards the implementation of the updated resettlement plan, some unfortunate developments could happen to any affected persons. One example is the passing away of the households who was recorded in the IOL or DMS. In such a case, the spouse will receive the compensation on behalf of the spouse who passed away before the payment of compensation. In case of death of

both spouses, compensation shall be received by any of the children with written permission from his/her siblings.

8.5. Unforeseen impacts

120. If during the DMS when additional adverse social impacts are identified and/or additional affected households and affected persons are found after the cut-off date, they are also entitled to receive subproject entitlements as the others on condition that it can be certified by communes or village chiefs that they have actually been in the subproject RoW even before the cut-off dates for eligibility. Likewise, new affected persons that will emerge due to changes in subproject design or alignment prior to or during construction works are entitled to the same entitlements as those of the other affected persons.

9.0. RELOCATION AND SETTLEMENTS

121. The Project does not cause resettlement impacts and only some households are affected insignificantly on their trees and crops.

10.0. INCOME RESTORATION AND REHABILITATION

10.1. Background

122. In order to assist affected persons restore livelihoods and income levels, the project will provide an income restoration program that is adapted to the needs and situation of the affected persons as determined in the socio-economic surveys. The affected persons covered by the income restoration program are identified in the entitlement matrix.
123. The scope of the entitlements includes an allowance to cover living costs during a period of reduced income while affected persons restore current livelihood and income-generating activities or make a transition to new income-generating activities. In-kind assistance to strengthen or initiate income-generating activities will also be provided.
124. In-kind assistance to strengthen or initiate income-generating activities will be decided in consultation with local authorities and affected persons eligible for the income restoration.

10.2. Income restoration program

125. No severely affected household is identified during IOL process; however, when implementing RP, if severely affected household emerges, the following regulations will be applied:
- Cash allowance for permanently acquired agricultural land: it is estimated at 5 times of land unit price)
 - Allowance for training and finding occupation: it is estimated as VND 6,000,000 person in labor ages.
126. Vulnerable affected households will receive assistance of VND 5,000,000 per household to restore their income to pre-project levels.

127. Assistance for employees losing their jobs at least three months and up to six months.

10.3. Resettlement budget and financing plan

128. The resettlement plan's cost given in this resettlement plan is an estimate only. During the resettlement plan's implementation stage, a full replacement cost survey will need to be conducted by DCARBs to ensure that compensation for land and assets are made at replacement costs.

129. The EVN Hanoi/HPPMB will be responsible for channeling funds for the compensation for land acquisition and resettlement to DPCs/DCARBs through the Ha Noi People's Committee or directly to DPCs. DPCs/DCARBs will be responsible for delivering payment directly to affected persons with respect to affected land, structures, crops and trees.

130. As shown in the table below, the overall cost of resettlement plan updating and implementation was estimated at VND 11,979,029,358 (or equivalent to USD 570,429.97) for inclusion in the project investment. The EVN Hanoi/HPPMB will ensure the timely provision of funds and will meet any unforeseen obligations in excess of the resettlement budget in order to meet the social safeguards objectives under the project. The financing of which can be drawn from the equity funds of EVN Hanoi.

Table10. Estimated compensation, assistance, and resettlement costs

No.	Category	Unit	Quantity	Rates (average)	In cash (VND)
A	Compensation for land				98.061.840
I	Residential land				-
II	Annual crop land				98.061.840
1	PhuThuong Ward	VND/m ²	410	162.000	66.426.480
2	Dong Ngac Ward	VND/m ²	131	162.000	21.267.360
3	Thuy Phuong Ward	VND/m ²	64	162.000	10.368.000
III	Perennial crop land				-
B	Compensation for trees				1.177.685.000
1	PhuThuong Ward	VND/tree	10.394		1.042.000.000
2	Dong Ngac Ward	VND/tree	1.699		135.685.000
3	Thuy Phuong Ward	VND/tree	-		-
C	Compensation for crops				27.997.500
1	PhuThuong Ward	VND/m ²	-		-
2	Dong Ngac Ward	VND/m ²	360		1.800.000
3	Thuy Phuong Ward	VND/m ²	2.495		26.197.500

D	Compensation for aquaculture				-
E	Compensation for structures				395.281.000
1	PhuThuong Ward		343		320.955.000
2	Dong Ngac Ward		104		74.326.000
3	Thuy Phuong Ward		-		-
F	Compensation for houses	VND/m ²			850.684.800
G	Assistances				532.531.320
H	Public structures		2.200		7.006.020.000
I	Sub-total (A+...+H)				10.088.261.460
J	Compensation, assistance, resettlement implementing cost 2%	%	2		201.765.229
K	External monitoring cost (estimated)				600.000.000
L	Sub-total (I+J+K)				10.890.026.689
M	Contingency cost (10% of L)	%	3		1.089.002.669
N	Total (VND)				11.979.029.358
	Total (USD)				570.429,97

11.0. INSTITUTIONAL ARRANGEMENTS

131. Implementation of the resettlement plan requires the participation of relevant agencies from the Central to province, district, and commune level. The executing agency has the overall responsibility for implementation of the resettlement plans. District Compensation, Assistance and Resettlement Boards (DCARBs) will be established at district level according to Decree 47/2014/ND-CP.

11.1. Central level

132. *EVN Hanoi* is the executing agency, through HPPMB to manage the resettlement issues. The HPPMB is the implementing agency that is mandated for the overall management and supervision of projects funded by ODA. For the management of a particular project, the EVN Hanoi creates the HPPMB within its organisation that is supported by full-time qualified and experienced social safeguard specialist to manage the resettlement related issues. EVN Hanoi will:

- Provide overall management and coordination of the project;
- Liaise with IAs to carry out the project;
- Coordinate with ADB in providing resettlement consultant services for the project;
- Support the HPPMB for updating resettlement plan of the project;

- Consolidate project progress reports on land acquisition and resettlement submitted by the HPPMB for relevant ministries and ADB; and
- Recruit a consulting agency consisting of international specialist and national specialist to support the project implementation.

Ha Noi City Power Project Management Board (HPPMB)

- Actively participate in the resettlement plan updating and implementation activities in collaboration with the concerned organisation at the Province, District and Commune levels;
- Liaise with the Provincial People's Committee (PPC) to facilitate the establishment of the CARB at the provincial/city and district levels.
- Provide an orientation, to the concerned People's Committees of the province/city, districts, and wards and communes, the DCARB and related groups on the project, its Resettlement Policy, process flow, and on the specific tasks of these groups relative to the updating and implementation of the district-level resettlement plan;
- Take the lead in the public disclosure of the project resettlement plan in coordination with the concerned People's Committees, and participate in project information dissemination and holding of consultation meetings with affected households and other stakeholders;
- Monitor grievances related to the project and calls the attention of concerned government offices where complaints have remained outstanding beyond prescribed action periods;
- Design and implement an internal monitoring system that shall capture the overall progress of the resettlement plan updating and implementation; and prepare quarterly progress reports for submission to EVN Hanoi and ADB.

11.2. City level

133. *City People's Committee:* The main responsibilities of the CityPC include: (i) establishment and mobilisation of City Compensation and Resettlement Board; (ii) organisation and mobilisation of all organisations and individuals concerning compensation, support and resettlement policies and ground clearance according to the land recovery decisions of competent State bodies; (iii) updating the unit costs to reflect the replacement cost of project-affected private and public assets; (iv) planning resettlement arrangements, job change training plans according to their assigned competence; (v) authorising the DPC to approve compensation, assistance support to affected persons; (vi) providing guidance to concerned agencies on the neutral settlement of citizens' complaints, denunciations related to compensation, support and resettlement; (vii) authorising the DPC to apply coercion to cases of deliberately failing to

abide by the State's land recovery decisions; and (viii) responsible for the resettlement budget.

11.3. District and Commune/Ward level

134. *District People's Committee*: the DPC will be responsible for the following: (i) extension of support for updating and preparation as well as implementation of the resettlement plan; (ii) review and submit resettlement plan to CityPC as endorsed by DCARBs; (iii) review the accuracy of and validate the cost estimates for compensation and assistance; (iv) acquisition of Land Use Rights Certificates (LURCs) for households and individuals who have lands and/or houses entirely-recovered; (v) adjustment of LURCs for households and individuals whose lands and houses have been partially affected; (vi) assist in the redress of complaints and grievance from affected persons; (vii) concurrence with the schedule of resettlement plan implementation and monitor the progress thereon; (viii) mobilisation of the respective DCARBs that will appraise the compensation and assistance to affected persons; as well as (ix) the provisions of lands to affected persons.
135. *District Compensation and Resettlement Board*: The responsibilities of the DCARB will be the following: (i) organise and carry out resettlement activities in the district on behalf of the DPC; (ii) assist in the DMS, public consultations and disclosure activities; (iii) review and submit to DPC proposed compensation, assistance and resettlement alternatives; (iv) assist in the identification and allocation of land for the affected persons; (v) along with the WPC, assist HPPMB in the timely delivery of compensation payment and other entitlements to affected persons; and (vi) assist in the resolution of complaints and grievances:
- The dissemination of the PIB and other publicity material; ensuring that affected persons are aware of the land acquisition and resettlement process.
 - Planning and carrying out the DMS and the disbursement of compensation payments.
 - The identification of severely affected and vulnerable affected persons and the planning and implementation of rehabilitation measures for these affected persons.
 - Help identify any resettlement sites and new farming land for affected persons who cannot remain in their present location.
 - Assist in the resolution of affected persons' grievances.
 - Facilitate the work of the agency appointed to undertake the external monitoring.
136. *Ward/Commune People's Committee*. The WPCs will assist the HPPMB and the DCARBs in the following tasks: (i) remind the affected persons about the compensation plan and the process of delivery, income restoration plans,

relocation strategies and land clearance requirements based on the approved resettlement plan; (ii) maintain the list of eligible affected persons that will be provided after the DMS has been conducted; (iii) assign commune officials to extend assistance in the update and/or preparation as well as the implementation of the resettlement plan; (iv) identify replacement lands for the affected persons; (v) sign the Agreement Compensation Forms along with the affected persons; and (vi) assist in the resolution of grievances and in other related-resettlement activities and concerns.

12.0. IMPLEMENTATION SCHEDULE

137. The implementation schedule must ensure the synchronised linkage between resettlement plan implementation and commencement of civil works, i.e. the appropriate compensation schedule and construction schedule. The compensation payment shall be completed prior to the commencement of the relevant project components.

138. The proposed resettlement plan implementation schedule is as follows:

Table 16. Project implementation schedule

Main activities	Time-frame
<i>Preparing RP</i>	
Detailed engineering and demarcation of land to be acquired	Year 1
Award contract and mobilise resettlement plan Consultants	Month 10 of Year 1
Public meeting and consultations with affected persons on draft resettlement plan	Year 1
Finalise updated resettlement plan and submit to HPPMB for review and referral	Month 2 of Year 1
ADB no-objection to resettlement plan	Month 2 of Year 2
Disclosure of approved resettlement plan	Month 3 of Year 2
<i>Implementing RP</i>	
DMS	Months 3 and 4 of Year 2
Compensation payment	Months 4 and 5 of Year 2
Implementation of rehabilitation measures	Month 5 of Year 2
Site clearance	Month 5 of Year 2
Start of civil works	Month 6 of Year 2 until

13.0. MONITORING AND REPORTING

139. The implementation of resettlement will be monitored regularly to help ensure that the resettlement plan is implemented as planned and that mitigating measures designed to address adverse social impacts are adequate and effective. Towards this end, resettlement monitoring will be done by an internal body and by an external organisation.

13.1. Monitoring and reporting

140. The project will establish systems for internal and external (if necessary) monitoring and evaluation. The main purpose of the monitoring and evaluation programme is to ensure that resettlement and acquisition of land and properties has been implemented in accordance with the policies and procedures of the resettlement plans.

141. The objectives of the monitoring and evaluation programme are to (i) ensure that the standard of living of affected persons is restored or improved; (ii) monitor whether the time lines are being met; (iii) assess if compensation, rehabilitation measures and social development support programmes are sufficient; (iv) identify problems or potential problems; and (v) identify methods of responding immediately to mitigate problems.

13.2. Internal monitoring

142. The HPPMB will conduct the internal monitoring of resettlement plan implementation for EVN Hanoi to identify as early as possible the activities achieved and the cause(s) of problems encountered so that arrangements in resettlement plan implementation can be adjusted. Related information will be collected monthly from the field to assess the progress of resettlement plan implementation and will be consolidated every quarter.

143. An initial key indicator will be, as per assurances to the ADB, the payment of compensation, relocation to new sites, and rehabilitation assistance being in place before award of civil contracts and these will be monitored under each of the civil contracts. The other main indicators that will be monitored regularly are:

- Payment of compensation to all affected persons in various categories, according to the compensation policy described in the resettlement plan.
- Delivery of technical assistance, relocation, payment of subsistence and moving allowances.
- Delivery of income restoration and social support entitlements.
- Public information dissemination and consultation procedures.
- Adherence to grievance procedures and outstanding issues requiring management's attention.

- Priority of affected persons regarding the options offered.
- Coordination and completion of resettlement activities and award of civil works contract
- The EVN Hanoi will incorporate the status of resettlement plan implementation in the overall project progress report to ADB.

13.3. External monitoring

144. Social impact monitoring and evaluation of resettlement plan implementation shall be conducted by EVN Hanoi itself. Besides, Project Implementing Consultant (PIC) shall be responsible for supporting EVN Hanoi and HPPMB in monitoring and evaluation of resettlement plan implementation.

145. The key objectives of social impact monitoring and evaluation are to: (i) assess whether resettlement objectives have been met, specifically the maintenance of livelihoods and the enhancement of affected persons' living standards; (ii) assess resettlement efficiency, effectiveness, impact and sustainability, drawing lessons as guide to future resettlement policy formulation for forthcoming ADB-assisted projects in EVN Hanoi; and (iii) the need for further mitigation measures as needed. In this respect, the EVN Hanoi will carry out a post-resettlement survey at six or twelve months after the completion of resettlement activities. It will conduct a rapid appraisal in areas inhabited by the affected persons, hold public consultations, and conduct a socioeconomic survey by interviewing a random sample of 20% of the affected persons whose responses will be recorded in a structured questionnaire. EVN Hanoi will compare with their pre-resettlement conditions, to assess the success and/or failure of the resettlement programme. Specific to monitoring the social impacts, EVN Hanoi will produce but not limited to the following in its assessments:

- Capacity of affected persons to restore livelihoods and living standards. This will include assessment on the effectiveness and/or inadequacy of technical assistance, allowances and other measures, and to what extent the affected persons have maintained their livelihoods and living standards to pre-project levels.
- Public consultation and awareness of resettlement plan policies. EVN Hanoi will validate if the affected persons have been fully informed and consulted about land acquisition and relocation activities. It will also inquire the affected persons and other stakeholders if they were aware of the compensation and entitlements policies and various options available to affected persons. Included in EVN Hanoi's validation is the process on how the public consultations were conducted, the problems and issues raised during the meeting and the solutions proposed either by the affected persons and stakeholders or from the side of EVN Hanoi/HPPMB.
- Level of affected persons' satisfaction. EVN Hanoi will assess the affected persons' level of satisfaction on compensations, allowances and

assistance received as well as on resettlement plan implementation, and the degree of efficiency and equity in handling grievances and resolution of complaints.

- Change in living standards. Some indicators in the performance evaluation of resettlement plan implementation are very useful in assessing the living standards of the affected persons, particularly from Section III of this resettlement plan. From the indicators, EVN Hanoi will compare and assess the progress of affected persons in coping with the restoration of their livelihoods that define their living standards. Special attention to disparities between their pre-project and post-resettlement social conditions will be analyzed, and disaggregated by gender and per capita income levels. Any factors or issues relevant to restoration of the affected persons living standards will be disclosed in the social impact evaluation report. The EVN Hanoi will discuss its findings with the ADB and advice follow-up actions, where appropriate, to bring to closure the social issues arising from land acquisition and resettlement.

APPENDIX 1. DUE DILIGENCE REPORT ON TAY HO 220KV SUBSTATION

DUE DILIGENCE REPORT TAY HO 220KV SUBSTATION

I. Tay Ho 220kV substation

1. Objectives

Tay Ho 220kV substation is built in order to meet the following objectives:

- Meeting the needs of power supply for the Southern area of Red River in Hanoi City for the 2015 to 2020 period and in the future.
- Creating a strong connection in the grid network of Hanoi City in particular and in the power system of Vietnam in general.
- Increasing the stability and safe operation for the grid of Hanoi City.
- Reducing power losses and contributing to the efficiency of power production and business of EVN.

Tay Ho substation is built in order to connect the grid system of the following lines⁷:

- Building the new double-circuit 220kV TL from Tay Ho: transit connection on one circuit of Chem-Van Tri 220kV TL to create Chem-Van Tri-Tay Ho ring circuit (The subproject will be financed by ADB).
- Connecting to 110kV grid by cutting in half the 110 kV double-circuit line axis from Chem to Mai Dong and connecting to 110kV bus-bar of Tay Ho 220kV substation.
- Rehabilitating double-circuit 110kV TL from Chem 220kV substation to Mai Dong 220kV substation into ACSR-300 line.
- Yen Phu 110kV substation does not take electricity from Chem-Mai Dong 110kV TL but is supplied from 110kV feeder of Tay Ho 220kV substation by two cable lines.

2. Substation location

The location of Tay Ho 220kV substation is agreed by Hanoi City PC in the Document No. 1061/UBND-XDDT dated February 20 2008. The substation location is on the area of growing peach trees in PhuThuong Ward, Tay Ho District and next to the existing Nhat Tan 110kV substation to the North. The borders of the substation are as follows:

- The North: borders the peach tree garden and residential area in PhuThuong Ward
- The South: borders the existing Nhat Tan 110kV substation
- The East: borders the water ditch and Packing Enterprise (planned road in the future)
- The West: borders the cemetery of PhuThuong Ward.

⁷According to the Document No. 3171/BCT-NL dated 21/4/2008 by Ministry of Industry and Trade adjusting the planning of 110-220kV power grid in Hanoi area related to change in location of An Duong 220kV substation after Tay Ho 220kV substation.

3. Scale of the Project

a. Equipment installation

Tay Ho 220kV substation has the installation scale as follows:

220kV section:

- Installing a transformer: 220kV-250MVA-225/115/23kV.
- As for 220kV section, it is designed with the diagram of double segment bus-bars. Six equipment bays will be installed: one outgoing feeder to Chem 220kV substation and one outgoing feeder to Van tri 220kV substation, two substation bays of 220kV AT1 and AT2 substations, one voltage transformer bay and one communication bay. Two more bays will be installed in the future.
- 220kV circuit-breakers using gas insulated equipment SF₆ (GIS).

110kV section:

- As for 110kV section, it is designed with the diagram of double segment bus-bars. 10 equipment bays will be installed: two total bays of the AT1 and AT2 transformers, two outgoing feeders to Chem 220kV substation, two outgoing feeder to Mai Dong 220kV substation, two outgoing feeders to Yen Phu 110kV substations, one segment bay and one voltage transformer bay.
- 110kV circuit-breakers using gas insulated equipment SF₆ (GIS).

22kV section:

- Using circuit breaker cabinet arranged on two segments including two outgoing cubicles, two auxiliary cubicles, two voltage transformer cubicles, and one capacitors cabinet.
- Installing two auxiliary transformers 250kVA-22/0,4kV.

Systems used for the operation of the substation:

- Auxiliary electric system of the substation
- Inside and outside lighting system
- Lightning protection and grounding system

b. Construction cost of the substation

Total investment:		412.887.791.000 VND.
Including:	+ Construction cost:	43.313.065.000 VND.
	+ Equipment cost:	287.998.949.000 VND
	+ Compensation cost:	10.228.680.000 VND
	+ Project management cost:	4.794.858.000 VND
	+ Other costs:	20.448.014.000 VND
	+ Investment construction cost:	8.568.971.000 VND

+ Contingency cost: 37.535.254.000 VND

4. Implementation progress

So far, the site clearance for the construction of Tay Ho substation has been completed. The civil works are going to commence. It is expected that the construction will be completed and come into operation in the First Quarter of 2015.

II. Impacts of the Project and compensation plan implementation

The total area of the construction of Tay Ho 220kV substation is 4,360 m² in PhuThuong Ward, Tay Ho District, in which:

Scope of land acquisition

Area of acquired land within the substation fence: 3,244.5m².

Access road to the substation

From the road to the existing Nhat Tan 110kV substation, an access road to the substation will be built with the width of 4.5m. The width of sidewalk is 3m, which will be appropriate to the future road planning of the city. At the same time, it is convenient for trucks transporting equipment to the substation as well as for operation and management in the coming time.

Number of PAHs

Agricultural land belonging to 38 households will be acquired with the total area of 4,093.50 m². The land area to be acquired for the substation is mainly agricultural land for growing peach trees. Some fertilizer containers and four graves will be affected in this area. No house is affected.

The total cost of compensation and assistance for the PAHs is VND 14.7 billion. The DMS and payment of compensation and assistances for the losses of 38 PAHs are carried out from June 2010 to December 2013. The implementation is in accordance with the regulations of the Government of Vietnam on compensation, assistance, and resettlement in the event of land recovery by the State for the purposes of national defense, security and public structures.

Information disclosure and consultation

Meetings and public consultations during project preparation process are not conducted. The design consultant only organized meeting with PhuThuong WPC to request for collaboration during the DMS process.

Since June 2010, the project information disclosure, inventory of land acquisition, identifying land owners, public meetings were conducted to disseminate information and project's policies. However, several households do not agree and support the project.

In order to carry out site clearance for the substation, Tay Ho DPC and PhuThuong WPC as well as the investment owner have organized several meetings to explain and encourage people and reply to their queries and concerns in written documents in compliance with the current regulations:

- On February 19 2011, the working group organized meeting with the households whose land areas are within the site clearance scope. The working group disclosed documents related to the project and its scale, decisions related to compensation, assistance, and resettlement as well as distributed relevant documents to each household.
- On April 1 2011, the working group continued collaborating with the local authorities and investment owner to organize meeting with the households to distribute documents in accordance with procedures to each household.
- On July 12 and 13 2011, the working group cooperated with the production team of the residential group to visit each household and distributed to them the documents related to the project, decisions on compensation, assistance, and resettlement policies in the event of land recovery by the State.

DMS process

- From July 18 to 22 2011, households were invited to participate in DMS process. However, all of the households did not cooperate and did not allow the working group to carry out the task.

- On August 30 and 31, and September 1 2011, PhuThuong ward working group carried out the survey (second time). However, all of the households did not cooperate. The working group, therefore, made the no-cooperation minute with each household and carried out the next steps.

- On October 16 2012, two households cooperated with the working group, namely Nguyen Van Mui and Mai QuangDuoc (Ngoc) households.

- On November 22 2012, four more households cooperated with the working group, namely Mai Van Duan, Vu Thi Nha (Thang), Mai XuanHai, and Nguyen ThiThe households.

- From December 18 to 22 2012, the working group carried out DMS in the area and made re-examination and re-measurement minutes for 37 households who cooperated in the process. Details are as follows:

- + 31 out of 32 households had compensation plans. Only one household, Pham Van Hung (Luong), does not cooperate in the DMS process;
- + Additional measurement was carried out for six households whose land is acquired but did not have compensation plans yet.

Compensation calculation and disclosure of compensation plans

Calculation of compensation amount and entitlements

Decision No. 108/2009/QD-UBND by Hanoi City PC and other decisions by Hanoi City PC are used as the basis for calculating the entitlements of the PAHs. The documentation review shows that:

- Affected land without LURCs is not compensated;
- Livelihood stabilization supports are applied for the PAHs who lose more than 30% of

their productive landholdings; however, 16 households have received this allowance from Nhat Tan Bridge Project (As 39 Article of Decision 108/2009/QĐ-UBND)⁸;

- Job changing support is not applied;
- Allowances for women-headed households are not available.

Public disclosure of compensation plans

- According to the direction of Tay Ho DCARB, the draft compensation and assistance plans were prepared based on the land and housing management records of PhuThuong Ward and were publicly disclosed to get comments and opinions from the PAPs in three batches as required:

- Batch 1: Posting the draft compensation plans of 18 households from 11/11/2011 to 30/11/2011;
- Batch 2: Posting the draft compensation plans of 12 households from 30/11/2011 to 19/12/2011;
- Batch 3: Posting the draft compensation plans of two households from 24/02/2012 to 14/3/2012.

Some households had comments and opinions about mistakes in their names and acquired land area. The DCARB, therefore, has verified and corrected the compensation plans. All of the draft compensation plans have been added and adjusted. Tay Ho DCARB has approved in accordance with regulations.

Grievances

Right from the commencement of the DMS process, no household cooperated with the DCARB. 100% of the PAHs had comments and opinions as follows:

- 1- The location of the substation is near residential area and school; therefore, people are concerned about the impacts of magnetic field on their health;
- 2- PAPs have small areas of agricultural land for growing peach trees; therefore, they do not want these areas to be acquired;
- 3- PAPs do not agree upon the compensation rates for land, trees, crops, and structures of Hanoi City PC, saying that the rates are much lower than the actual prices (the main reason);
- 4- EVN Hanoi is an electricity enterprise; therefore, when acquiring land, they have to negotiate directly with the PAPs.

However, after several times of explaining and adjusting the compensation rates, the PAHs have received compensation. There are five households who lodged their complaints. The details of their complaints are as follows:

1. *Nguyen Khac Family* (representatives: Nguyen Van Hung- Nguyen Van Binh;

⁸ Decision 108/2009/QĐ-UBND regulated in compensation, assistance and resettlement when State recover land on Hanoi city area.

39 Article, item 3 of decision 108/2009/QĐ-UBND regulated: "household and individual are only assisted in accordance with the regulation one time, and when land is acquired by the State, the household and individual will be no longer received the assistance".

Nguyen Van Mui is cultivating on the land) (*acquisition of 478.26 m² of land*) complained about the compensation rate for the area of the family at VND 252,000 per square meter was not in accordance with the policies.

- On 02/8/2013 the DCARB issued Official Document No.285/BBT to reply.

2. *Household of Mai Van Nam (acquisition of 188.60 m² of land)* complained that the compensated agricultural land area was not adequate.

- On 26/8/2013 PhuThuong WPC issued the Document No.237/UBND-DCXD to reply.

3. *Household of Chu Van Binh and Chu Thi Di(acquisition of 336.22 m² of land)* complained about the low compensation rates which were not in accordance with the policies.

- On 28/8/2013, DCARB issued the Document No. 335/BBT requested PhuThuong WPC to verify land origins. So far, PhuThuong WPC has not solved it yet.

4. *Household of Pham Thi Luong* had query about why the family was not entitled to the assistance according to Item 3 Article 13 of the Decision No. 108/2009/QD-UBND dated September 29 2009 by Hanoi City PC;

- On 26/8/2013 PhuThuong WPC issued the Document No. 240/UBND-DCXD reporting to Tay Ho DPC about the case of Pham Thi Luong household. So far, Tay Ho DPC has not had any decision with regards to the case.

5. *Household of Nguyen ThiCai(acquisition of 75.69 m² of land)* complained that the compensation rate at VND 252,000 per square meter was low and not in accordance with the policy;

- On 12/8/2013 the DCARB issued Document No. 306/BBT to reply.

* After organizing public meeting with the PAHs, Tay Ho DPC has adjusted to meet the expectation of PAPs. So far, the investment owner, the working group, and PhuThuong WPC have carried out compensation payment according to the adjusted compensation plans which were approved for the PAHs. Four PAHs have received compensation and handed over land.

The household of Pham Thi Luong is not satisfied with the solution of Tay Ho DPC; therefore, Tay Ho DPC has applied administrative measures for the household to hand over land.

Compensation payment

After several times of negotiation, the investment owner, site clearance working group and PhuThuong WPC have organized compensation payment according to the approved compensation plans for the PAHs whose agricultural land is acquired in the site clearance scope of the project:

- Batch 1: On 05/10/2012, one out of 32 households received compensation for land, namely Nguyen ThiDien household (Plan No. 25, acquired land area of

183 m²; compensation amount is VND 684,511,200) and four households received compensation for grave displacement including:

1. HH: Mai QuangThieu	Amount:	11,350,000 VND
2. HH: Pham Quang Thong	Amount:	11,350,000 VND
3. HH: Nguyen Van Voi	Amount:	9,498,000 VND
4. HH: Nguyen Van Mui	Amount:	18,996,000 VND

- Batch 2: On 25/10/2012, two PAHs received compensation for land.

1. HH: Nguyen Van Than, plan No. 17, acquired land area of 36.6 m², compensation amount: VND 154,722,240.

2. HH: Chu Van Tac (Be), plan No. 19, acquired land area of 40.4m², compensation amount: VND 128,655,360.

- On 04/12/2012 the third batch was organized according to the payment schedule approved by Tay Ho DPC for 23 households in PhuThuong Ward (*who had not received compensation and had not cooperated during the DMS process*). There was no household came to receive compensation.

- On 08/5/2013 the third batch was organized (according to the adjusted compensation plans) for six households. Five households received compensation and handed over site. Only Nguyen Khac Family did not agree to receive the compensation.

- On 12/7/2013 the fourth batch was organized (according to the adjusted compensation plans) for four households. No household received compensation.

- On 19/7/2013 the second batch of payment for five households who did not receive compensation according to the adjusted plans of the third and fourth batches. There was no household received compensation.

- After the plans were adjusted (the second time) by Tay Ho DPC for five households who had not received compensation, 4 households were willing to receive compensation and handed over site.

- As for household of Pham Thi Luong, administrative measure had to be taken for the household to hand over site.

The total compensation amount for 38 households is shown in the Table below.

Summary table of compensation payment

No.	Decision Ref.	Land acquisition			Approved compensation plan and payment	Details of compensation corresponding to types of impacts						Notes
		No. of PAHs	Area (m2)	Type of land		Compensation for land	Compensation for structures	Compensation for trees and crops	Assistance	Graves	Progress bonus	
1	856/QD-UBND	17	1.794	Annual crop land	6.383.839.264	5.772.897.360	241.521.904	240.720.000	128.700.000			
2	949/QD-UBND	6	187	Annual crop land	870.928.120	685.444.800	39.800.260	21.420.000	123.750.000		513.060	
3	950/QD-UBND	5	456	Annual crop land	1.724.407.788	1.600.524.288	6.592.500	62.841.000	54.450.000			
4	1166/QD-UBND	1	6,47	Annual crop land	23.851.008	23.851.008						1 HH
5	1913/QD-UBND	4	615	Annual crop land	981.190.776	670.925.448	218.438.690	81.926.638	9.900.000			
6	2714/QD-UBND	4	-	Annual crop land	51.194.000					51.194.000		04 graves
7	2873/QD-UBND	3	877	Annual crop land	2.395.390.968	2.395.390.968						
		40	3.936	-	12.430.801.924	11.149.033.872	506.353.354	406.907.638	316.800.000	51.194.000	513.060	-

Remarks: The total number of PAHs is 38.

III. Correction action plan

In order to harmonize the land acquisition and compensation payment activities of Tay Ho substation project with the policies applied for Chem-Tay Ho 220kV TL, the following recommendations are proposed to Hanoi EVN and Tay Ho DCARB:

(i) Information disclosure and consultation

Findings. The information disclosure and consultation during the project design process have not been carried out with the PAHs;

Consultation, information dissemination, and negotiations for land acquisition were carried out by Tay Ho DCARB and working group during site clearance process of the project;

Correction action: Continue disseminating information to minimize difficulties for the project during construction period;

(ii) DMS

Findings. DMS was not supported by the PAHs, leading to mistakes in the process. Six households have been missed out from the list of PAHs.

Correction action: During construction period, all of the emerging impacts should be identified, measured and negotiated for compensation immediately.

(iii) Entitlement calculation

Findings. Compensation rates applied for compensation for affected land and structures are lower than the market prices, particularly the compensation rates for land and peach trees.

Correction action. Other assistances should be provided for the PAHs to compensate for impacts on their livelihoods and incomes. It is proposed that socio-economic survey should be conducted for 38 PAHs and identify their main sources of income. As for households whose main source of income is from growing peach trees, it is necessary to design income restoration measures for the PAHs.

(iv) Assistances

Findings. Livelihood stabilization assistances are only applied for some households. 16 households are not entitled to receive these assistances as they have received assistances from Nhat Tan Bridge Project. Other allowances for poor households and vulnerable households are not applied.

Correction action: Review list of PAHs to apply additional assistances for the households belonging to vulnerable group.

As for livelihood stabilization assistance, it is necessary to calculate based on the ratio of acquired area to the total land area to see whether the households are entitled to

assistance. It is not appropriate to add up with other projects. Complying with best practice for resettlement implementation, the impacts caused by Nhat Tan Bridge Project should be taken into consideration to calculate assistances for the PAHs as a result of accumulative impacts of land acquisition.

Review the proportion of acquired area of the PAHs and assess their needs. Provide job changing assistance as well as income restoration activities for PAHs losing more than 10% of their productive landholdings.

(v) *Grievance redress*

Findings. Complaints of the PAHs have been solved and replied in written document. The solution is that some adjustments in compensation rates for affected assets have been made.

Correction action: Increase dialogues and negotiations with the PAHs who have complaints at the grassroots level. Documents replying to complaints and solutions should be provided for the PAPs who have complaints and disclosed publicly at the ward office.

(vi) *Monitoring*

Findings. There is no monitoring activity from an external monitoring agency. There is no involvement from the mass organizations in the ward and district who should monitor and cooperate in solving queries during site clearance implementation process.

Correction action. The participation of Women's Union, Ward and District Fatherland Front in monitoring of site clearance implementation should be increased. The investment owner should recruit an independent monitoring agency/individual to carry out monitoring of compensation and site clearance activities.

Appendix 1. List of affected households

No.	Name	Address
1	Mai Van Duan	Group 37 Zone 6
2	Pham Thi Luong	Group 38 Zone 6
3	Chu Van Binh and Chu Thi Di	Group 43 Zone 7
4	Mai Van Nam	Group 42 Zone 7
5	Nguyen Thi Cai	Group 37 Zone 7
6	Mai QuangThieu	Group 37 Zone 6
7	Nguyen Van Voi	Group 37 Zone 6
8	Nguyen Van Mui	Group 37 Zone 6
9	Pham Quang Thong	Group 37 Zone 6
10	Nguyen Khac Family (Nguyen Van Hung, Nguyen Van Binh)	Group 41 Zone 6
11	Do Thi Mui	Group 43 Zone 7
12	HoaThi Nham	Group 43 Zone 7
13	Mai Thi Ban	Group 41 zone 7
14	Mai ThiHoa	Group 43 Zone 7
15	Mai Thi Huong	Group 45 Zone 7
16	Nguyen Thi Chi	Group 42 Zone 7
17	Nguyen ThiHau	Group 42 Zone 7
18	Nguyen Thi Ho	Group 36 Zone 7
19	Nguyen ThiLan	Group 43 Zone 7
20	Nguyen Thi Mau	Group 42 Zone 7
21	Nguyen Thi Minh Tuyet	Group 43 Zone 7
22	Nguyen Thi Nguyen	Group 41 Zone 7
23	Nguyen Thi The	Group 54 Zone 8
24	Nguyen ThiXuan (Quan)	Group 43 Zone 7
25	Nguyen Van Truong (Thuy)	Group 43 Zone 7
26	Pham Thi Yen	Group 43 Zone 7
27	Trinh Thi Minh	Group 43 Zone 7
28	Le ThiHy	Group 45 Zone 7
29	Nguyen Ngoc Nguyen-PhanThi Dan	Group 54 Zone 7
30	Nguyen Thi Son	Group 42 Zone 7
31	Nguyen Thi Ty	Group 42 Zone 7
32	Tran ThiChinh	Group 43 Zone 7
33	Nguyen ThiHoa	Group 41 Zone 7
34	Chu Van Thinh	Group 45 Zone 6

35	Nguyen ThiDien	Group 37 Zone 6
36	Nguyen ThiThuan	Group 37 Zone 6
37	Nguyen Van Than	Group 37 Zone 7
38	N/A	N/A

Appendix 2. List of interviewees

Name	Agency
Dinh Van Ha	Deputy Head of Planning Department HPPMU
Pham HuuManh	HPPMU official
Nguyen Cong Trang	Tay Ho DCARB official – in charge of the project

APPENDIX 2

SOCIO-ECONOMIC SURVEY AND INVENTORY OF LOSSES QUESTIONNAIRE

Projects: Construction and Rehabilitation of Chem-Tay Ho 220kV Transmission Line

Questionnaire code: ___/___/___; Survey date: ___/___/2014

A-BACKGROUND INFO

1. Name of head of household:Age..... Gender: [] (Male=1; female=2)
 - a) Ethnicity: [] (1=Kinh; 2=Thai; 3=Tay; 4=Nung; 5= Muong; 6=Tho; 7=Others)
 - b) Education Level: [] (1=Illiterate; 2=Primary school; 3=Secondary school; 4= Yet graduated from high school; 5=High school; 6=Vocational training; 7=University and post graduate; 8=Others)
 - c) Main occupation: [] (1= Agriculture; 2=Livestock husbandry; 3=Selling goods; 4=Restaurant ; 5=Factory worker; 6=official; 7=private company; 8=transportation; 9=driver 10= receive domestic economic support; 11=receive economic support from abroad ; 12=housewife; 13=Others)
 - d) Secondary jobs: [] (1=Livestock husbandry; 2=perennial crops; 3=aquaculture; 4=handicraft; 5=forestry; 6=small business; 7=mechanic)
2. Home address: Village:Commune:District.....Province
3. Vulnerable group: [] (Woman headed=1; Ethnic minority=2; Disabled=3; Poor household=4; Social policy household=5)

B. SOCIO-ECONOMIC SURVEY

4. Household component (including head of household)

No.	Name	Gender	Relation to the household head	Age	Ethnicity	Main Occupation	Education level (7 and above)
		1=Male 2=Female	0=head 1=Husband/wife 2=Father/mother 3=Son/daughter 4=Son-in-law/ Daughter-in-law 5=Grand child 6=Niece/ nephew 7=Others				
1							
2							
3							
4							
5							
6							

7							
8							
9							

5 Housing facilities

a.	Source of water – drinking / cooking: _____	1- Rain water	5- Purchased
b.	Source of water – washing / bathing: _____	2- Traditional / shallow well	6- Public tap
		3- Deep well	7- Piped water
c.	Sanitation: _____	4- Canal, river, pond	8- Other
		1- Pit latrine	3- Public toilet
d.	Source of energy – lighting _____	2- Toilet in house	4- None
		1- Electricity (from government)	6- Wood
e.	Source of energy – cooking: _____	2- Private generator	7- Coal
		3- Car battery	8- Cylinder gas
		4- Kerosene / gas	9- None
		5- Paraffin / candle	10 - Other

6. Access to public facilities

Facilities/Social service	1.Yes	2.No	1= under1 km	2= from 1 to 2 km	3= from 2 to 5 km	4= over 5 km
a. Healthservice						
1. Communal health center						
2. Hospital/General Clinic						
3. Private medical center						
4. Pharmacy						
b. Market						
c. Kindergarden and school						
5. Kindergarden						
6. Primary school						
7. Secondary school						
8. High school						
9. Community college/Vocational training						
d. Other community facilities						
10. Cultural communal house						
11. Pagodas, temples, churches						
12. Sport center, stadium						

7. Annual household income: VND

Main household income sources are from:

- 1) Agricultural production activities Amount _____ VND
- 2) Business Amount _____ VND
- 3) Salary Amount _____ VND
- 4) Other sources (for example, overseas remittances) Amount _____ VND

8. Water use: water sources for domestic use (tick the corresponding bracket)

- 1) Dug well []
- 2) Village well []
- 3) Tap water []
- 4) Rain water []
- 5) River, stream, pond, []
- 6) Buy water []

lake

- 7) Creek 8) Others
9. Common diseases among the community (specify)
1. Catch a cold 2. Dysentery
3. Influenza 4. Hepatitis
- 5) Respiratory diseases 6) Intoxicated
- 7) Malaria 8) Others
- 9) Cholera 10) No answer
10. Main energy for lighting for household?
- 1) Grid electricity 2) Power generator/hydropower
- 3) Battery 4) Kerosene lamp
- 5) Wood/coal 6) Others
11. Main energy for cooking of the household? (Can select more than 1)
- 1) Electricity 2) Biogas
- 3) Power generator 4) Others
- 5) Gas/oil 6) No answer
- 7) Wood

12. Has the living condition of the household changed during the last 3 years ?

- 1) Remain the same ; Reason _____
- 2) Better ; Reason: _____
- 3) Worse ; Reason: _____

C. INVENTORY OF LOSSES

1. Land use situation of the household (affected land is in the scope of acquisition for the project)

Types of land	Land within and beyond the project area (m ²)		Impact degree		Land tenure	Legal title	Impacts caused by
			Total area of affected land (m ²)	(1) Partially affected (2) Fully affected			
1= Residential land 2=Land for growing rice 3=Garden land 4=Aquaculture land 5=Forestry land 6=Non-agricultural land 7=Others					1=Owner 2=Lease	1=LURC 2=Without LURC but are eligible for granting LURC 3= Ineligible for granting LURC 4= Land is in the planning area of the state 5=Long-term lease of government land 6=Lease of private land	1= Transmission line 2= Station
	Within	Beyond					
Plot 1							
Plot 2							
Plot 3							
Plot 4							
Plot 5							
Plot 6							
Plot 7							
Plot 8							
Total							

2. Affected houses

Types of houses	Total floor area (m ²)	Legal title	Impact degree		Project area	Notes (if there is home business, except for No. 7)
1. Villa 2. Grade1 3. Grade 2 4. Grade 3 5. Grade 4 6. Temporary 7. Shop separated from house		1. With certificate 2. Without certificate 3. Build on agricultural land 4. Rented house	Affected floor area (m ²)	(Partially affected=1; Fully affected=2)	1= Main canal 2= Northern Canal 3= Southern Canal 4=Management house 5=Borrow pit 6=Disposal area 7=Others	

NB: A household can be impacted on several houses, thus it is necessary to fill full information of all affected houses.

3. Information related to houses out of the project area (if any):

- No. of houses: []
- Area of houses out of the project area (m²): m²

4. Other affected structures and facilities

(List auxiliary structures separated from affected houses listed above and facilities)

Structures/ Facilities	Types of structures	Unit	Quantity	Location 1= Transmission line 2= Station
1. Kitchen separated from the main house	1. Temporary 2. Equal to grade 4 house	m2		
2. Livestock sheds	1. Temporary 2. Equal to grade 4 house	m2		
3. Electricity meter		Electricity meter		
4. Water meter and estimate of water pipeline length		Water meter		
5. Telephone				
6. Fence	1. Brick 2. Steel, wire or wood	Fence		
7. Gate	1. Brick 2. Iron, steel 2. Wood, Bamboo	m ²		
8. Latrine, bathroom (separated from the main house)	1. Brick, concrete 2. Bamboo, thatch	m2		
9. Earth grave a) cemetery b) Individual		Grave		

10.	Built grave			
11.	Well	1. Drilled 2. Dug	m	
12.	Water container	1. Brick/ concrete 2. Inox 3. Plastic	m ³	
13.	Yard (only cement or tiled)		m ²	
14.	Fish pond (excavated amount)		m ³	
15.	Others (Name and affected area)			

5. Affected trees and crops

(Only list affected perennial crops and fruit trees)

Trees and crops		Name	Unit	Amount	Location 1= Transmission line 2= Station
a)	Fruit tree (main)		Tree		
1)	Pomelo				
2)					
3)					
4)					
5)					
b)	Timber tree (main)		Tree		
1)					
2)					
3)					
4)					
5)					
c)	Pot plant (main)				
d)	Crops (main)		Tree		
1)	Maize				
2)	Potato				
3)	Earthnut				
4)	Bean				
5)					

e) Surface water area for aquaculture		m2		

D. CONSULTATION

1. Only for households losing productive and agricultural land

If agricultural or other productive lands are affected (acquired), which compensation option does your family chooses?

a) Land-for-land (if land fund in the commune is available) with equal type of land and area/nature

b) Compensation in cash

c) Not yet decided

2. Only for households losing residential land

Is the remaining residential land area out of the project area enough for the household to rebuild house?

1- Yes 2- No

3. Only for households losing residential land

If the remaining residential land area is not viable to rebuild house (the remaining area is smaller than 40m2 in the urban area or 100m2 in the rural area), which relocation option does the household choose?

a) Self relocate to another land plot of the household

b) Self relocate to another place decided by the household

c) Project's resettlement site

d) Move to the resettlement site arranged by the local authorities

e) Not yet decided

4. What is your plan to use compensation cash?

a) Build or repair house

b) Buy new land

c) Buy other properties ; Specify _____

d) Invest in small business

e) Bank saving

f) Spend on children's study

g) Others Describe _____

5. At present does the family have plan to replace production/income from agricultural land and/or restore business?

1. No 2. Yes:

If yes, what is the plan:

a) Buy new agricultural land for production

b) Reestablish business in the new place

c) Business

d) Open small shop

e) Handicraft

f) Look for new job

g) Others Describe _____

Surveyor

On behalf of the household

APPENDIX 3. PROJECT INFORMATION BOOKLET

1. *Name of the Project:* Construction and Rehabilitation of Chem - Tay Ho 220kV Transmission Line

2. *Executing agency:* Hanoi City People's Committee and Electricity of Vietnam

3. *Representative of the executing agency:* Hanoi Power Project Management Board

Question 1: What is the Construction and Rehabilitation of Chem-Tay Ho 220kV Transmission Line project?

Answer: The construction and rehabilitation of Chem-Tay Ho 220 kV transmission line project is financed by the Asian Development Bank (ADB) and the Government of Vietnam with the aim to supply sufficient electricity in Tay Ho, BacTuLiem and northern area of Red River.

Question 2: How Chem-Tay Ho 220kV Transmission Line subproject affect local communities?

Answer: According to the Decree No. 14/2014/ND-CP dated 26/02/2014 on the safety protection of high voltage power grid, the subproject will cause the following impacts:

- Permanent loss of houses and structures (if any);
- Permanently cut down trees on the affected land area;
- Restriction to the use of land area/house/structure in the RoW.

Details of impacts:

The subproject will cause impacts on agricultural land of 19 households. The permanently acquired land area is 605 m² to build the overhead power line.

Question 3: What is the main objective of resettlement plan?

Answer: The main objective of the Resettlement Plan is to ensure that all APs will be at least as well-off, if not better-off, than they would have been in the absence of the Project.

Question 4: What if my land is affected by the project?

Answer: (i) In case the subproject acquires more land of the households, you will be offered a choice of replacement land as priority of equal area and productive capacity at a location acceptable to you OR cash compensation at replacement value at current market prices.

(ii) In case the affected land is leased land, the value of land shall not be compensated but the investment costs in land will be compensated.

Question 5: Do we need to have a land title in the order to be compensated?

Answer: No, lack of formal legal rights to land does not prevent any APs from receiving compensation, allowances and rehabilitation assistance. Those APs who possess a land use rights certificate (LURC) or any other form of written agreement to utilise the land are entitled to compensation for the lost land as well as assets on the land. Those APs who do not have legal/legalisable or temporary/lease rights for affected land will be compensated for the assets on affected land.

Question 6: Is the compensation applied for affected houses and structures?

Answer: Yes. Compensation will be applied for all affected assets including houses, stores, wells, and fences as well as other fixed assets at replacement value at current market prices without any deductions for building depreciation or salvageable building materials. This will ensure that the Affected Persons are able to reconstruct houses and other structures of better or at least the same quality as before. *Question 7: What about affected crops and trees?*

Answer: (i) Permanently affected crops and trees will be compensated in cash at current market prices.

(ii) As for trees and crops temporarily affected during construction period:

- Compensation for non-harvested crops will be based on the time of impacts and the average production in the past 3 years.
- Trees and crops will be compensated at market prices at the time of land acquisition.

Question 8: Besides the compensation, how can the project help?

Answer: In addition to compensation for loss of land and other assets, the Project will provide rehabilitation assistance to eligible APs to ensure that their standard of living is maintained or improved after the Project. Eligible APs for rehabilitation assistance include:

- Affected households: these households losing more than 10% of their productive landholdings will receive the following assistances: (i) life stabilization allowances; (ii) income restoration allowances and provision of technical assistance and agricultural extension techniques to improve output in the remaining area, existing credit programs or employments related to the project;
- Households that relocate shall receive (i) relocation allowances; (ii) assistances to mobilize life during transition period; (iii) rental allowances at market prices. Assistance levels are identified clearly in the project policies.
- Business owners that lose income while they relocate or rebuild their shops/businesses: Households with small, unregistered businesses

will receive cash compensation equal to the provincial minimum wage for three months. Owners of registered businesses will receive cash compensation equal to 30% of their taxed income of one year. The annual taxed income is determined in the financial reports of the previous three years.

- Employees and hired labors who lose their jobs: will receive cash compensation for lost salary/wages for each month they cannot work, if the loss is temporary; or, if the loss is permanent, cash compensation equivalent to the provincial minimum wage for six months or cash compensation for remaining contract period whichever is higher.
- Job changing allowances: As for the affected households who have or have not registered for LURC after resettlement and do not have job, if you are in the working age, you can participate in a vocational training in the area without tuition fee.

Question 9: Does that mean that anybody in our community can claim for compensation?

Answer: No. Entitled APs are those persons or households that will lose land or property based on the detailed measurement survey (DMS) that will be conducted following completion of the final designs for the subproject. Affected communes and local authorities will be informed of the cut-off date (the date of DMS) for the subproject.

Question 10: If there are any disagreements or problems about land acquisition, compensation or other general disputes during project implementation, do APs have the right to voice their complaints?

Answer: Yes, APs can voice their complaints (in verbal or written form) to responsible local authorities and resettlement committees. Their complaints can be filed first at the ward or commune level, and can be elevated to the district and provincial level and taken to provincial court if the APs are not satisfied with the decision of lower levels. APs will be exempted from all taxes, administrative and legal fees. All complaints of APs on any aspect of land acquisition, compensation, resettlement and implementation will be addressed in a timely and satisfactory manner.

Question 11: How will APs be consulted and informed?

Answer: A consultation and public information program will be organized in your commune to ensure that APs receive complete and timely information about the Project. APs will be provided information on project components, impacts, their rights and entitlements, grievance mechanism, rights of participation and consultation, resettlement activities, responsibilities of institutions and implementation schedule. APs will participate in resettlement planning and implementation and they will also be

consulted on the following issues: a) resettlement options according to their entitlement, b) training and training preferences in current or new occupations, c) other project aspects.

Question 12: As a resident in the project area, how can I help?

Answer: We would like you to participate in all consultation meetings and other subproject related activities in order to ensure that you are fully informed and consulted. Your active participation during the detailed measurement survey (DMS) and implementation will allow us to determine measures to mitigate impacts, to identify problems or potentials problems and to identify ways of responding immediately to solve these problems.

Question 13: How will you know if the objectives of this project are met?

Answer: EVN through HPPMB will ensure internal monitoring all Project activities. In addition, HPPMB will engage an independent external monitoring agency to conduct external monitoring of resettlement activities during Project implementation. Every 6 months, the independent monitoring agency will submit a report to HPPMB and ADB on resettlement implementation progress. A post-resettlement impact evaluation will assess whether negative impacts have been mitigated adequately and pre-project standards of living of APs have been restored as a result of resettlement and the Project.

FOR FURTHER INFORMATION AND SUGGESTIONS –

Please contact the PCARCs and DCARCs where you live:

1. Provincial Compensation, Assistance and Resettlement Committee (PCARC),

Address:.....

.

Person in charge:.....Tel.....

2. District Compensation, Assistance Resettlement Committee (DCARC) of ... District;

Address:.....

Person in charge:.....Tel.....

APPENDIX 4. SUMMARY OF COMMUNITY CONSULTATION RESULTS

Table 1. Summary of consultation results

No.	District/Ward	Feedbacks
1	PhuThuong Ward	<ul style="list-style-type: none"> - The TL does not affect households growing peach trees under the TL and households in the residential area. - The construction schedule should be clear and after the construction, site must be restored and returned. Under the TL is the cemetery area near the underground cable location; therefore, it is necessary to avoid affecting the graves here. - It is recommended that the PMB has close supervision mechanism of the contractors during construction period. - The construction plan and schedule must be appropriate. Prior to the construction, PAPs should be informed so that their crops are not affected. - Along the TL, there are several households growing peach trees. Therefore, during the construction period, the construction unit and PAHs should reach agreement. - The PAHs suggest that prior to the construction, consultation should be organized to get comments and opinions from PAPs as there are many households growing peach trees here. - During the construction process, there should be equipment to support the TL to avoid impacts on peach trees under the TL's ROW. - Prior to the construction, there should be consensus from the owner of the peach garden to allow construction on their land and compensation rates should be negotiated between the owners of the peach garden and construction in case of emerging impact caused on the peach trees below the TL. - In order to minimize impacts on PAHs and local communities during construction, the best construction time is at least one month before or after Tet Holidays as before the end of the year (Lunar Calendar), the households will grow peach trees in pots and after the Tet Holiday, they have to prepare land to grow peach trees.
2	Thuy Phuong Ward	<ul style="list-style-type: none"> - The subproject is invested according to the policy of the Party and State for the benefits of local communities; therefore, the communities and WPCs totally support the project. - As for the PAHs, the project should ensure their entitlements and compensate for their losses according to the current regulations. - Construction plan and schedule should be informed to the communities and the PMB should cooperate closely with the local authorities and consult with the local communities to avoid complaints and queries.

		<ul style="list-style-type: none"> - Compensation must be paid prior to construction. And during construction period, labor safety and environmental sanitation should be guaranteed. There should be signals and signs to ensure traffic safety for people. - Waste materials after displacing the foundations should be transported to another area because there is no waste landfill area in these wards. - Prior to the construction, the project should inform the households about the constructions schedule and expected finish time so that we can arrange time for cultivation activities. - In the construction sites, there are rain-fed crops; during the construction period or material transportation, if there is any emerging impact on the crops, the project should compensate and support the PAPs during the time when land cannot be used. - There should be plan and method to displace the old foundations to avoid impacts on production activities. The safety of the households under the ROW of the TL should be guaranteed.
<p>3</p>	<p>Dong Ngac Ward</p>	<ul style="list-style-type: none"> - The local authorities and all of the PAHs should be consulted. - The construction plan and schedule should be appropriate. Prior to the construction, PAHs should be informed early to avoid impacts on crops. - After the construction is finished, the site should be returned. - Compensation should be appropriate and ensure the entitlements of the PAPs. Compensation in accordance with the regulations to avoid complaints. - If the construction unit brings machines or equipment, they should inform beforehand to the owners of the gardens and must have approval of the owners to carry out construction activities on their land. - When pulling cable line, the construction unit should have method to support the line to avoid impacts on trees grown under the ROW. - The compensation rates should be negotiated and agreed between the owners of the gardens and construction unit because peach trees have high economic value. - Waste materials during construction process should be transported out of the area as well as the growing area of the households. - Specific plan and schedule should be prepared and avoid the harvest season of the households.

Table 2. List of participants of the ward-level consultations

No	Name	Position	Ward	District
1	Mai Thi Hong	Secretary of the Party Committee	PhuThuong	Tay Ho
2	Kieu Van Tam	Deputy Chairman of the People's Council	PhuThuong	Tay Ho
3	Cong Nghia Tien	Chairman of People's Council	PhuThuong	Tay Ho
4	Nguyen QuocThien	Chairman of Ward Fatherland Front	PhuThuong	Tay Ho
5	Nguyen Tuan Anh	Cadastral official	PhuThuong	Tay Ho
6	Nguyen Viet Phuong	Secretary of the Party Committee	Thuy Phuong	BacTuLiem
7	Nguyen Ngoc Nam	Deputy Chairman of the People's Council	Thuy Phuong	BacTuLiem
8	TruNhuQuynh	Chairman of People's Council	Thuy Phuong	BacTuLiem
9	Nguyen Van Lam	Chairman of Ward Fatherland Front	Thuy Phuong	BacTuLiem
10	Duong Xuan Thu	Cadastral official	Thuy Phuong	BacTuLiem
11	Nguyen Van Chien	Chairman of People's Council	Dong Ngac	BacTuLiem
10	Nguyen Van An	Deputy Chairman of the People's Council	Dong Ngac	BacTuLiem
11	Le Thanh Lam	Leader of Nhat Tao Hamlet	Dong Ngac	BacTuLiem
12	Nguyen Van Phu	Leader of Dong Ngac Hamlet	Dong Ngac	BacTuLiem

Table 3. List of households participating in the consultations

No.	Name	Ward	District	Notes
1	Nguyen Chi Linh	Dong Ngac	BacTuLiem	
2	Nguyen Van Hung	Dong Ngac	BacTuLiem	
3	PhungManh Hung	Dong Ngac	BacTuLiem	
4	Le Van Ngoc	Dong Ngac	BacTuLiem	
5	Truong Cong Nghenh	Dong Ngac	BacTuLiem	
6	Nguyen Van Hung	Dong Ngac	BacTuLiem	
7	Le ThanhNghia	Dong Ngac	BacTuLiem	
8	PhungManh Hung	Dong Ngac	BacTuLiem	
9	Nguyen Thi Kim Oanh	Dong Ngac	BacTuLiem	
10	Pham Van Thac	Dong Ngac	BacTuLiem	
11	Dang Van Lanh	Dong Ngac	BacTuLiem	
12	Nguyen Van Nhon	Thuy Phuong	BacTuLiem	
13	Nguyen Van Bon	Thuy Phuong	BacTuLiem	
14	Nguyen Van Gioi	Thuy Phuong	BacTuLiem	
15	Nguyen Van Nha	Thuy Phuong	BacTuLiem	
16	Nguyen ThiMui	Thuy Phuong	BacTuLiem	
17	Le ThanhPhuc	Thuy Phuong	BacTuLiem	
18	Nguyen ThiGai	Thuy Phuong	BacTuLiem	
19	Nguyen Van Minh	Thuy Phuong	BacTuLiem	
20	Nguyen Van Hai	Thuy Phuong	BacTuLiem	

21	Nguyen Van Hoach	Thuy Phuong	BacTuLiem
22	Le ThiTuyet	Thuy Phuong	BacTuLiem
23	Pham Thi Siu	Thuy Phuong	BacTuLiem
24	Nguyen Thi Cam	Thuy Phuong	BacTuLiem
25	Nguyen Thi Duong	Thuy Phuong	BacTuLiem
26	Nguyen Van Trong	PhuThuong	Tay Ho
27	Cong Van Lap	PhuThuong	Tay Ho
28	Khi Van Ca	PhuThuong	Tay Ho
29	Cong Van Khoa	PhuThuong	Tay Ho
30	Cong Van Chien	PhuThuong	Tay Ho
31	Nguyen Van Hai	PhuThuong	Tay Ho
32	Cong Phuong Phuc	PhuThuong	Tay Ho
33	Cong ThiNham	PhuThuong	Tay Ho
34	Nguyen Van Trong	PhuThuong	Tay Ho
35	Cong ThiXuyen	PhuThuong	Tay Ho
36	Cong Van Dung	PhuThuong	Tay Ho
37	Cong Van Tung	PhuThuong	Tay Ho
38	Cong Van Phuong	PhuThuong	Tay Ho
39	Nguyen Thi Lam	PhuThuong	Tay Ho
40	Pham Thi Luong	PhuThuong	Tay Ho
41	Nguyen ThiTuyet	PhuThuong	Tay Ho
42	Cong Xuan Tien	PhuThuong	Tay Ho
43	Cong Van Phuong	PhuThuong	Tay Ho
44	Cong Van So	PhuThuong	Tay Ho
45	PhanDuc Lam	PhuThuong	Tay Ho
46	Cong Van Nguyen	PhuThuong	Tay Ho
47	Cong Manh Long	PhuThuong	Tay Ho

APPENDIX 5. COMPENSATION, ASSISTANCE AND RESETTLEMENT COST ESTIMATES

Table 1. Compensation, assistance, and resettlement cost estimates

No.	Category	Unit	Quantity	Rates (average)	In cash (VND)
A	Compensation for land				98.061.840
I	Residential land				-
1	PhuThuong Ward	VND/m2	-	-	-
2	Dong Ngac Ward	VND/m2		-	-
3	Thuy Phuong Ward	VND/m2	-	-	-
II	Annual crop land				98.061.840
1	PhuThuong Ward	VND/m2	410	162.000	66.426.480
2	Dong Ngac Ward	VND/m2	131	162.000	21.267.360
3	Thuy Phuong Ward	VND/m2	64	162.000	10.368.000
III	Perennial crop land				-
1	PhuThuong Ward	VND/m2	-	-	-
2	Dong Ngac Ward	VND/m2	-	-	-
3	Thuy Phuong Ward	VND/m2	-	-	-
B	Compensation for trees				1.177.685.000
1	PhuThuong Ward	VND/tree	10.394		1.042.000.000
2	Dong Ngac Ward	VND/tree	1.699		135.685.000
3	Thuy Phuong Ward	VND/tree	-		-
C	Compensation for crops				27.997.500
1	PhuThuong Ward	VND/m2	-		-
2	Dong Ngac Ward	VND/m2	360		1.800.000
3	Thuy Phuong Ward	VND/m2	2.495		26.197.500
D	Compensation for aquaculture				-
1	PhuThuong Ward	VND/m2	-	-	-

2	Dong Ngac Ward	VND/m2	-	-	-
3	Thuy Phuong Ward	VND/m2	-	-	-
E	Compensation for structures				395.281.000
1	PhuThuong Ward		343		320.955.000
2	Dong Ngac Ward		104		74.326.000
3	Thuy Phuong Ward		-		-
F	Compensation for houses	VND/m2			850.684.800
G	Assistances				532.531.320
H	Public structures		2.200		7.006.020.000
I	Sub-total (A+...+H)				10.088.261.460
J	Compensation, assistance, resettlement implementing cost 2%	%	2		201.765.229
K	External monitoring cost (estimated)				600.000.000
L	Sub-total (I+J+K)				10.890.026.689
M	Contingency cost (10% of L)	%	3		1.089.002.669
N	Total (VND)				11.979.029.358
	Total (USD)				570.429,97

Exchange rate: USD 1 = VND 21,000

Table 2. Compensation for annual crop land

#	District	Unit	Quantity	Compensation rates	Amount (VND)
I	Tay Ho District		410		66.426.480
1	PhuThuong Ward	VND/m2	410	162.000	66.426.480
II	BacTuLiem District		195		31.635.360
1	Dong Ngac Ward	VND/m2	131	162.000	21.267.360

2	Thuy Phuong Ward	VND/m2	64	162.000	10.368.000
	Total		605		98.061.840

Table 3. Compensation for houses

No.	District/ Category	Unit	Quantity	Compensation rates	Amount (VND)
I	Tay Ho District		543		714.033.600
1	Dong Ngac Ward		543		714.033.600
	IV-Grade house, type 1	VND/m2	440	1.430.100	629.244.000
	Temporary house	VND/m2	103	823.200	84.789.600
II	BacTuLiem District		166		136.651.200
2	Dong Ngac Ward		166		136.651.200
	IV-Grade house, type 1	VND/m2	-	1.430.100	-
	Temporary house	VND/m2	166	823.200	136.651.200
3	Thuy Phuong Ward				-
	IV-Grade house, type 1	VND/m2	-	1.430.100	-
	Temporary house	VND/m2	-	823.200	-
	Total		709		850.684.800

Table 4. Compensation for structures

No.	District/ Category	Unit	Quantity	Compensation rates	Amount (VND)
I	Tay Ho District		343		320.955.000
1	PhuThuong Ward		343		320.955.000
	Kitchen outside of the main house	VND/m2	7	977.000	6.839.000
	Electricity meter	VND/unit	4	120.000	480.000
	Fence	VND/m2	252	922.000	232.344.000
	Gate	VND/m2	22	500.000	11.000.000
	Latrine, bathroom	VND/m2	10	1.241.000	12.410.000
	Drilled well	VND/unit	3	2.457.000	7.371.000
	Water tank	VND/m3	23	2.001.000	46.023.000
	Drying ground	VND/m2	22	204.000	4.488.000
II	BacTuLiem District		104		74.326.000

1	Dong Ngac Ward		104		74.326.000
	Electricity meter	VND/unit	5	120.000	600.000
	Water meter	VND/unit	5	140.000	700.000
	Fence	VND/m2	75	922.000	69.150.000
	Drying ground		19	204.000	3.876.000
2	Thuy Phuong Ward				-
	Water meter	VND/unit	-		-
	Fence	VND/m2	-		-
	Total		447		395.281.000

Table 5. Compensation for affected trees

No.	District/Ward	Unit	Quantity	Compensation rates	Amount (VND)
I	Tay Ho District		10.394		1.042.000.000
1	PhuThuong Ward		10.394		1.042.000.000
	Dracontomelum	VND/tree	90	130.000	11.700.000
	Peach	VND/tree	10.299	100.000	1.029.900.000
	Apricot	VND/tree	5	80.000	400.000
II	BacTuLiem District		1.699		135.685.000
1	Dong Ngac Ward		1.699		135.685.000
	Bead tree	VND/tree	4	50.000	200.000
	Grape fruit tree	VND/tree	5	40.000	200.000
	Mango tree	VND/tree	11	150.000	1.650.000
	Banana tree	VND/tree	25	35.000	875.000
	Kumquat tree	VND/tree	1.632	80.000	130.560.000
	Peach tree	VND/tree	22	100.000	2.200.000
2	Thuy Phuong Ward		-		-
	Dracontomelum	VND/tree	-	-	-
	Bead tree	VND/tree	-	-	-
	Total		12.093		1.177.685.000

Table 6. Compensation for affected crops

No.	District/Ward	Unit	Quantity	Compensation rates	Amount (VND)
I	Tay Ho District		-	-	-
1	PhuThuong Ward		-		-
	Vegetable	VND/m2	-	-	-
	Bean	VND/m2	-	-	-
II	BacTuLiem District		2.855		27.997.500
2	Dong Ngac Ward		360		1.800.000
	Vegetable	VND/m2	-	-	-
	Bean	VND/m2	360	5.000	1.800.000
3	Thuy Phuong Ward		2.495		26.197.500
	Vegetable	VND/m2	2.495	10.500	26.197.500
	Bean	VND/m2	-	-	-
	Total		2.855		27.997.500

Table 7. Assistances and allowances

No.	Category	Unit	Quantity	Rates	In cash (VND)	Notes
I	Tay Ho District				362.282.520	
1	PhuThuong Ward				362.282.520	
1.1	Livelihood and production stabilizing support					
1.1.1	Losing from 10% to 30% and from 30% to 70% of their productive landholdings	Person	9	2.880.000	25.920.000	
a	<i>Do not have to relocate</i>		-		-	
b	<i>Have to relocated</i>		-		-	
1.1.2	Losing more than 70% of their productive landholdings	Person	-			
a	<i>Do not have to relocate</i>		-		-	
b	<i>Have to relocated</i>		-		-	
1.2	Job changing and creation support	VND/m2	410	810.000	332.132.400	
1.3	Allowances for vulnerable groups					
	Poor HH	VND/HH	-	-	-	

	Woman-headed HH	VND/HH	1	3.000.000	3.000.000	Article 42, Decision No. 108/2009/QĐ- UBND
	Other vulnerable HHs	VND/HH	-	-	-	
1.4	Progress bonus	VND/m2	410	3.000	1.230.120	Article 43, Decision No. 108/2009/QĐ- UBND
II	BacTuLiem District				170.248.800	
1	Dong Ngac Ward				118.216.800	
1.1	Livelihood and production stabilizing support					
1.1.1	Losing from 10% to 30% and from 30% to 70% of their productive landholdings	Person	4	2.880.000	11.520.000	
a	<i>Do not have to relocate</i>				-	
b	<i>Have to relocated</i>		-		-	
1.1.2	Losing more than 70% of their productive landholdings	Person	-			
a	<i>Do not have to relocate</i>		-		-	
b	<i>Have to relocated</i>		-		-	
1.2	Job changing and creation support	VND/m2	131	810.000	106.336.800	Article 40, Decision No. 108/2009/QĐ- UBND
1.3	Allowances for vulnerable groups					
	Poor HH	VND/HH				
	Woman-headed HH	VND/HH				
	Other vulnerable HHs	VND/m2			-	
1.4	Progress bonus	VND/m2	120	3.000	360.000	Article 43, Decision No. 108/2009/QĐ- UBND
2	Thuy Phuong Ward				52.032.000	
1.1	Livelihood and production stabilizing support					
1.1.1	Losing from 10% to 30% and from 30% to 70% of their productive landholdings	Person	-		-	
a	<i>Do not have to relocate</i>				-	
b	<i>Have to relocated</i>		-		-	

1.1.2	Losing more than 70% of their productive landholdings	Person	-			
a	<i>Do not have to relocate</i>		-			-
b	<i>Have to relocated</i>		-			-
1.2	Job changing and creation support	VND/m2	64	810.000	51.840.000	Article 40, Decision No. 108/2009/QD- UBND
1.3	Allowances for vulnerable groups					
	Poor HH	VND/HH				
	Woman-headed HH	VND/HH	-	-	-	
	Other vulnerable HHs	VND/HH				
1.4	Progress bonus	VND/m2	64	3.000	192.000	Article 43, Decision No. 108/2009/QD- UBND
	Total		605		532.531.320	

APPENDIX 6. CONSULTATION AND SURVEY PICTURES



Figure 3: Consultation with PhuThuong Ward, Tay Ho District



Figure 4: Community consultation at Thuy Phuong Ward, BacTuLiem District



Figure 5: Field survey at the connection location of ChemTay Ho 110KV and 220KV



Figure 6: Expected location of underground cable



Figure 7: Typically affected trees and structures



Figure 8: PAP survey, ThuongThuy Hamlet, PhuThuong Ward, Tay Ho District

APPENDIX 7. LIST OF PROJECT AFFECTED HOUSEHOLDS

STT	Name and Sur Name	Ward	District	Notes
1	Nguyen Van Chung	Dong Ngac	Bac Tu Liem	
2	Nguyen Chi Linh	Dong Ngac	Bac Tu Liem	
3	Le Thi Chinh	Dong Ngac	Bac Tu Liem	
4	Nguyen Thi Thom	Dong Ngac	Bac Tu Liem	
5	Truong Cong Nghenh	Dong Ngac	Bac Tu Liem	
6	Nguyen Van Hung	Dong Ngac	Bac Tu Liem	
7	Nguyen Van Dai	Dong Ngac	Bac Tu Liem	
8	Phung Manh Hung	Dong Ngac	Bac Tu Liem	
9	Le Van Ngoc	Dong Ngac	Bac Tu Liem	
10	Bui Xuan Dung	Dong Ngac	Bac Tu Liem	
11	Dang Van Lanh	Dong Ngac	Bac Tu Liem	
12	Cao Thi Nhu Mai	Dong Ngac	Bac Tu Liem	
13	Nguyen Van Ngoc	Dong Ngac	Bac Tu Liem	
14	Nguyen Thi Suu	Dong Ngac	Bac Tu Liem	
15	Nguyen Van Tien	Dong Ngac	Bac Tu Liem	
16	Le Thi Nguyet	Dong Ngac	Bac Tu Liem	
17	Ngo anh Tuan	Dong Ngac	Bac Tu Liem	
18	Hoang Thi Tuy	Dong Ngac	Bac Tu Liem	
19	Nguyen Thi Luong	Dong Ngac	Bac Tu Liem	
20	Nguyen Viet Toan	Dong Ngac	Bac Tu Liem	
21	Cao Xuan Pho	Dong Ngac	Bac Tu Liem	
22	Le Thanh Nghia	Dong Ngac	Bac Tu Liem	
23	Hoang Van Trung	Dong Ngac	Bac Tu Liem	
24	Nguyen Van Lich	Dong Ngac	Bac Tu Liem	
25	Le Thanh Nhan	Dong Ngac	Bac Tu Liem	

26	Truong Bac nghia	Dong Ngac	Bac Tu Liem	
27	Tran Thi Mai	Dong Ngac	Bac Tu Liem	
28	Nguyen Thi Kim Oanh	Dong Ngac	Bac Tu Liem	
29	Nguyen Thi Hong anh	Dong Ngac	Bac Tu Liem	
30	Pham Minh Quan	Dong Ngac	Bac Tu Liem	
31	Pham Van Thac	Dong Ngac	Bac Tu Liem	
32	Nguyen Van Nho	Dong Ngac	Bac Tu Liem	
33	Nguyen Xuan Giang	Dong Ngac	Bac Tu Liem	
34	Nguyen Thi Ngan	Dong Ngac	Bac Tu Liem	
35	Nguyen Thi Dong	Dong Ngac	Bac Tu Liem	
36	Nguyen Hai Chau	Dong Ngac	Bac Tu Liem	
37	Nguyen Thi Bac	Dong Ngac	Bac Tu Liem	
38	Phạm Tien Tung	Dong Ngac	Bac Tu Liem	
39	Phạm Thi Minh Phuong	Dong Ngac	Bac Tu Liem	
40	Nguyen Van Nhon	Thuy Phuong	Bac Tu Liem	
41	Nguyen Van Bon	Thuy Phuong	Bac Tu Liem	
42	Nguyen Van Gioi	Thuy Phuong	Bac Tu Liem	
43	Nguyen Van Nha	Thuy Phuong	Bac Tu Liem	
44	Nguyen Thi Mui	Thuy Phuong	Bac Tu Liem	
45	Le Thanh Phuc	Thuy Phuong	Bac Tu Liem	
46	Nguyen Thi Gai	Thuy Phuong	Bac Tu Liem	
47	Nguyen Van Minh	Thuy Phuong	Bac Tu Liem	
48	Nguyen Van Minh	Thuy Phuong	Bac Tu Liem	
49	Nguyen Van Hoach	Thuy Phuong	Bac Tu Liem	
50	Le Thi Tuyet	Thuy Phuong	Bac Tu Liem	
51	Pham Thi Suu	Thuy Phuong	Bac Tu Liem	
52	Nguyen Thi Cam	Thuy Phuong	Bac Tu Liem	
53	Nguyen Thi Cuong	Thuy Phuong	Bac Tu Liem	
54	Nguyen Thi Hien	Dong Ngac	Bac Tu Liem	

55	Nguyen Van Tuan	Dong Ngac	Bac Tu Liem	
56	Nguyen Van Cuong	Dong Ngac	Bac Tu Liem	
57	Trương Bac Nghia	Dong Ngac	Bac Tu Liem	
58	Nguyen Van Thang	Dong Ngac	Bac Tu Liem	
59	Đang Van Chi	Dong Ngac	Bac Tu Liem	
60	Nguyen Van Mui	Dong Ngac	Bac Tu Liem	
61	Nguyen Van Sang	Dong Ngac	Bac Tu Liem	
62	Nguyen Van Tam	Phu Thuong	Bac Tu Liem	
63	Nguyen Van Chap	Phu Thuong	Tay Ho	
64	Nguyen Van Tap	Phu Thuong	Tay Ho	
65	NguyenVan Khi	Phu Thuong	Tay Ho	
66	Hoang Van Mui	Phu Thuong	Tay Ho	
67	Hoang Van Toan	Phu Thuong	Tay Ho	
68	Nguyen Van Khang	Phu Thuong	Tay Ho	
69	Nguyen Van Hung	Phu Thuong	Tay Ho	
70	Hoang Van Lam	Phu Thuong	Tay Ho	
71	Nguyen Van Trien	Phu Thuong	Tay Ho	
72	Nguyen Van Binh	Phu Thuong	Tay Ho	
73	Nguyen Van Hao	Phu Thuong	Tay Ho	
74	Nguyen Van Luong	Phu Thuong	Tay Ho	
75	Hoang Duc Tien	Phu Thuong	Tay Ho	
76	Nguyen Duy Thanh	Phu Thuong	Tay Ho	
77	Hoang Huu Trich	Phu Thuong	Tay Ho	
78	Nguyen Van Chuong	Phu Thuong	Tay Ho	
79	Nguyen Thi Luan	Phu Thuong	Tay Ho	
80	Cao Đức Hoang	Phu Thuong	Tay Ho	
81	Hoang Van Binh	Phu Thuong	Tay Ho	
82	Phạm Đình Lập	Phu Thuong	Tay Ho	
83	Nguyen Van Loi	Phu Thuong	Tay Ho	

84	Nguyễn Văn Thang	Phu Thuong	Tay Ho	
85	Nguyen Thi Thuy	Phu Thuong	Tay Ho	
86	Hoang Thi Lich	Phu Thuong	Tay Ho	
87	Nguyen Thi Quy	Phu Thuong	Tay Ho	
88	Tran Thanh Nhan	Phu Thuong	Tay Ho	
89	Tran Ngoc Khoa	Phu Thuong	Tay Ho	
90	Tran Van Dung	Phu Thuong	Tay Ho	
91	Nguyen Van Tinh	Phu Thuong	Tay Ho	
92	Nguyen Van Duong	Phu Thuong	Tay Ho	
93	Tran Duc Chung	Phu Thuong	Tay Ho	
94	Hoàng Anh Thiện	Phu Thuong	Tay Ho	
95	Nguyen Van Loc	Phu Thuong	Tay Ho	
96	Nguyen Van Thang	Phu Thuong	Tay Ho	
97	Hoang Van Lai	Phu Thuong	Tay Ho	
98	Vu Thi Tue	Phu Thuong	Tay Ho	
99	Nguyen Van Hai	Phu Thuong	Tay Ho	
100	Hoang Van Tinh (Loi)	Phu Thuong	Tay Ho	
101	Nguyen Van Lam (Ngọc)	Phu Thuong	Tay Ho	
102	Hoang Van Trien	Phu Thuong	Tay Ho	
103	Hoang Cong Thang	Phu Thuong	Tay Ho	
104	Nguyen Thi Tha	Phu Thuong	Tay Ho	
105	Hoang Van Duong	Phu Thuong	Tay Ho	
106	Nguyen Van Truong	Phu Thuong	Tay Ho	
107	Nguyen Van Trong	Phu Thuong	Tay Ho	
108	Cong Van Lap	Phu Thuong	Tay Ho	
109	Nguyen Ha Tinh	Phu Thuong	Tay Ho	
110	Cong Van Tuat (Phuong)	Phu Thuong	Tay Ho	
111	Cong Van Khue	Phu Thuong	Tay Ho	
112	Cong Van Binh (Noi)	Phu Thuong	Tay Ho	

113	Cong Nghia Tuyet	Phu Thuong	Tay Ho	
114	Nguyen Van Cuong	Phu Thuong	Tay Ho	
115	Khi Van Ca	Phu Thuong	Tay Ho	
116	Cong Van Khoa	Phu Thuong	Tay Ho	
117	Cong Van Hoan	Phu Thuong	Tay Ho	
118	Cong Van Minh	Phu Thuong	Tay Ho	
119	Cong Manh Long	Phu Thuong	Tay Ho	
120	Cong Van Chien	Phu Thuong	Tay Ho	
121	Nguyen Van Hai	Phu Thuong	Tay Ho	
122	Mai Van Tuyet	Phu Thuong	Tay Ho	
123	Cong Nghia Tien	Phu Thuong	Tay Ho	
124	Cong nghia Phuong	Phu Thuong	Tay Ho	
125	Cong Van Thi	Phu Thuong	Tay Ho	
126	Cong Phuong Phuc	Phu Thuong	Tay Ho	
127	Cong Thi Nham	Phu Thuong	Tay Ho	
128	Nguyen van Quang	Phu Thuong	Tay Ho	
129	Cong nghia Cuong	Phu Thuong	Tay Ho	
130	Nguyen Van Theo	Phu Thuong	Tay Ho	
131	Ho Van Hung	Phu Thuong	Tay Ho	
132	Nguyen Van Trong	Phu Thuong	Tay Ho	
133	Cong Thi Xuyen	Phu Thuong	Tay Ho	
134	Cong Van Dung	Phu Thuong	Tay Ho	
135	Cong Van Moc	Phu Thuong	Tay Ho	
136	Cong Van Thu	Phu Thuong	Tay Ho	
137	Cong Van Tien	Phu Thuong	Tay Ho	
138	Cong Van Phung	Phu Thuong	Tay Ho	
139	Cong Van Tung	Phu Thuong	Tay Ho	
140	Cong Van Phuong	Phu Thuong	Tay Ho	
141	Cong Van So	Phu Thuong	Tay Ho	

142	Nguyen Ngoc Dau	Phu Thuong	Tay Ho	
143	Cong Van Que	Phu Thuong	Tay Ho	
144	Nguyen Thi Lam	Phu Thuong	Tay Ho	
145	Pham Thi Luong	Phu Thuong	Tay Ho	
146	Nguyen Kim Hanh	Phu Thuong	Tay Ho	
147	Nguyen Thi Thuy	Phu Thuong	Tay Ho	
148	Đang Dinh Truong	Phu Thuong	Tay Ho	
149	Nguyen Thi Tuyet	Phu Thuong	Tay Ho	
150	Cong Xuan Tien	Phu Thuong	Tay Ho	
151	Hy Van Minh	Phu Thuong	Tay Ho	
152	Phan Đức Lam	Phu Thuong	Tay Ho	
153	Cong van Nguyen	Phu Thuong	Tay Ho	
154	Nguyen Van Nam	Phu Thuong	Tay Ho	
155	Phạm Van Son	Phu Thuong	Tay Ho	