

## INITIAL POVERTY AND SOCIAL ANALYSIS

Country:	Socialist Republic of Viet Nam	Program Title:	Secondary Cities Development Program (Green Cities)
Lending/Financing Modality:	Results-based lending	Department/ Division:	Southeast Asia Department / Urban Development and Water Division

### I. POVERTY IMPACT AND SOCIAL DIMENSIONS

#### A. Links to the National Poverty Reduction Strategy and Country Partnership Strategy

Viet Nam has progressed well toward reducing poverty, with poverty incidence declining from 58% in 1993 to 11% in 2010. However, the poverty incidence varies significantly across regions. It is low in the southeast, Red River and Mekong deltas, and south central coast, but high in the northern mountains, north central coast, and central highlands. The poor are vulnerable to environmental degradation, disaster risks and climate change effects. Industrialization, urbanization, and agricultural intensification have had harmful effects on land and water. Continued discharges of untreated waste to water and soil threaten water safety and thereby food security and reliable energy supplies.

#### B. Poverty Targeting

General Intervention  Individual or Household (TI-H)  Geographic (TI-G)  Non-Income MDGs (TI-M1, M2, etc.)

The proposed project will generally improve the living conditions of those who live in the project cities by providing new/ upgraded urban infrastructure and municipal services. Improved urban infrastructure and services will also increase economic opportunities for people live in the project cities, leading to poverty reduction.

#### C. Poverty and Social Analysis

1. Key issues and potential beneficiaries. The potential beneficiaries will be residents, local government agencies, and commercial establishments of Hue, Ha Giang, and Vinh Yen. The project will provide them with protection from natural disasters and improved environmental quality in the city.

2. Impact channels and expected systemic changes. The project emphasizes community awareness and participation as impact channels. The expected systemic changes will be the integration of inclusiveness elements in the implementation of the Green City Action Plans which are being prepared in a consultative and participatory manner. Increased competencies in integrated urban development and community awareness will address any potential constraints in inequitable access of proposed benefits and services.

3. Focus of (and resources allocated in) the PPTA or due diligence. \$0.8 million from ADB's TASF-V, \$1.0 million from UCCRTF under UFPF, and \$0.3 million from the Netherlands Trust Fund under WFPF will be allocated for the PPTA, from which social development and social safeguard specialists will be engaged to conduct due diligence, including poverty and social analysis and social impact analysis. Specific Terms of Reference for these experts have been included in the overall PPTA team.

### II. GENDER AND DEVELOPMENT

1. What are the key gender issues in the sector/subsector that are likely to be relevant to this program or program?

Key issues that will be studied under the PPTA will include (i) gender dimensions of labor in current urban services, (ii) women's limited participation in decision-making related to urban governance and services, and (iii) women's roles in community behavioral changes. Improvements to sanitation and hygiene generally have a greater beneficial impact on women as public health improvements are likely to affect those more responsible for family health. Women are traditionally tasked with caring for sick family members, whose illnesses may be caused from unhygienic sanitation conditions. Women in low-income and poor households, who typically reside in areas with lower services and infrastructure, often bear a higher burden. Despite higher impact on women, decisions about household spending for water and sanitation services are often the concern of men.

2. Does the proposed program have the potential to make a contribution to the promotion of gender equity and/or empowerment of women by providing women's access to and use of opportunities, services, resources, assets, and participation in decision making?

Yes  No Please explain. Gender actions should be prepared during PPTA or program assessments to subsequently form part of the program action plan or DLIs.

3. Could the proposed program have an adverse impact on women and/or girls or widen gender inequality?

Yes  No Please explain

4. Indicate the intended gender mainstreaming category:

GEN (gender equity theme)  EGM (effective gender mainstreaming)

SGE (some gender elements)  NGE (no gender elements)

<b>III. PARTICIPATION AND EMPOWERMENT</b>
<p>1. Who are the main stakeholders of the program, including beneficiaries and negatively affected people? Identify how they will participate in the program design.</p> <p>The project will benefit the city population, however directly affected people will be known once the subprojects are identified. The PPTA terms of reference emphasizes public consultations which are mandatory to identifying and consulting all stakeholders which will determine the mitigating action plans for the affected people. This will be jointly conducted to comply with safeguards requirements. Participatory stakeholder analysis will be conducted in each city with the project beneficiaries (the residents of these three towns), and established civil society organizations with strong community connections included as stakeholders.</p> <p>2. How can the program contribute (in a systemic way) to engaging and empowering stakeholders and beneficiaries, particularly, the poor, vulnerable and excluded groups? What issues in the program design require participation of the poor and excluded?</p> <p>The project will engage and empower stakeholders through consultation meetings and community awareness programs. The project will provide employment potential through project based interventions based on their needs and interests and community awareness programs for the urban poor and other vulnerable groups including women.</p> <p>3. What are the key, active, and relevant in the program area? What is the level of CSO participation in the program design?</p> <p>The cities have strong Womens Unions who work in a collaborative partnership for consultations and information gathering and sharing during the project design and implementation, and support of community awareness mechanisms.</p> <p><input checked="" type="checkbox"/> Information generation and sharing (M) <input checked="" type="checkbox"/> Consultation (H) <input checked="" type="checkbox"/> Collaboration (H) <input checked="" type="checkbox"/> Partnership (H)</p> <p>4. Are there issues during program design for which participation of the poor and excluded is important? What are they and how will they be addressed? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>There are issues for which the poor, minorities and excluded are important. Lack of services and exposure to disaster risk affect the poor disproportionately, and therefore, they will be an integral part of the discussions about the solutions such as strengthening institutional capacity of community in environment planning and climate resilience. The PPTA will identify specific issues and solutions for the inclusion of the poor and excluded.</p>
<b>IV. SOCIAL SAFEGUARDS</b>
<p><b>A. Involuntary Resettlement Category</b> <input type="checkbox"/> A <input checked="" type="checkbox"/> B <input type="checkbox"/> C</p> <p>1. Does the program have the potential to involve involuntary land acquisition resulting in physical and economic displacement? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Impacts on land acquisition and resettlement will be assessed in accordance with ADB's safeguard policy statement 2009. The category will be confirmed and updated during the PPTA when more information is available and the subproject/location is identified.</p> <p>2. What actions are required to address involuntary resettlement as part of the PPTA or assessment process?  <input checked="" type="checkbox"/> Program safeguard system assessment and actions <input type="checkbox"/> None</p>
<p><b>B. Indigenous Peoples Category</b> <input type="checkbox"/> A <input checked="" type="checkbox"/> B <input type="checkbox"/> C</p> <p>1. Does the proposed program have the potential to directly or indirectly affect the dignity, human rights, livelihood systems, or culture of Indigenous Peoples? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>2. Does it affect the territories or natural and cultural resources indigenous peoples own, use, occupy, or claim, as their ancestral domain? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No The project is expected not to have any impacts on the Indigenous people due to the mainly urban context of the project. However, impacts on Indigenous peoples will be further assessed in detail due to high presence in Ha Giang, during the PPTA in accordance with ADB's Safeguard Policy Statement (SPS) 2009 to reconfirm categorization. PPTA resources will be made available to undertake study and documentation as needed in accordance with ADB's SPS (2009).</p> <p>3. Will the program require broad community support of affected indigenous communities? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please refer to explanation above.</p> <p>4. What actions are required to address risks to indigenous peoples as part of the PPTA or the program assessment process?  <input checked="" type="checkbox"/> Program safeguard system assessment and actions <input type="checkbox"/> None</p>
<b>V. OTHER SOCIAL ISSUES AND RISKS</b>
<p>1. What other social issues and risks should be considered in the program design?</p> <p><input checked="" type="checkbox"/> Creating decent jobs and employment (M) <input type="checkbox"/> Adhering to core labor standards <input type="checkbox"/> Labor retrenchment</p> <p><input type="checkbox"/> Spread of communicable diseases, including HIV/AIDS <input type="checkbox"/> Increase in human trafficking <input checked="" type="checkbox"/> Affordability (L)</p> <p><input type="checkbox"/> Increase in unplanned migration <input checked="" type="checkbox"/> Increase in vulnerability to natural disasters (L) <input type="checkbox"/> Creating political instability</p> <p><input type="checkbox"/> Creating internal social conflicts <input type="checkbox"/> Others, please specify _____</p>

2. How are these additional social issues and risks going to be addressed in the program design? PPTA will assess the degree of issues and risks involved and prepare a risk management plan. Due diligence on compliance with internationally recognized core labor standards and/or applicable national labor laws will be conducted during the design stage.

#### VI. PPTA OR ASSESSMENT RESOURCE REQUIREMENT

1. Do the terms of reference for the PPTA (or program assessments) contain key information needed to be gathered during PPTA or the program assessment process to better analyze (i) poverty and social impact; (ii) gender impact, (iii) participation dimensions; (iv) social safeguards; and (vi) other social risks. Are the relevant specialists identified?  
 Yes       No

2. What resources (e.g., consultants, survey budget, and budget for workshop(s)) are allocated for conducting poverty, social and/or gender analyses, and participation plan during the PPTA or the program assessments? \$2.1 million (\$0.8 million from ADB's TASF-V, \$1.0 million from UCCRTF under UFPF, and \$0.3 from the Netherlands Trust Fund under WFPF) will be allocated for the PPTA, from which social development and social safeguard specialists will be engaged to conduct due diligence, including poverty and social analysis and social impact assessment. Specific Terms of Reference for these experts have been included in the overall PPTA team.

ADB = Asian Development Bank, CSOs = civil society organizations, DLIs = disbursement-linked indicators, PPTA = program preparatory technical assistance, TASF = technical assistance special fund, UCCRTF = Urban Climate Change Resilience Trust Fund; UFPF = Urban Financing Partnership Facility; WFPF = Water Financing Partnership Facility.

Source: Asian Development Bank.