

Ethnic Minority Development Plan

August 2018

VIE: Northern Mountain Provinces Transport Connectivity Project

Lao Cai Province

Prepared by Project Management Unit No. 2 of the Ministry of Transport for the Asian Development Bank.

CURRENCY EQUIVALENTS

(as of 15 August 2018)

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NOTE

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Acronyms and Abbreviations

ADB	Asian Development Bank
AP	Affected Person/s
AH	Affected Household/s
CEMA	Committee for Ethnic Minority Affairs
CPC	Commune People's Committee
DARD	Department of Agriculture and Rural Development
DOLISA	Department of Labor, Invalids and Social Affairs
DOT	Department of Transport
DPC	District People's Committee
EM	Ethnic Minority
GAP	Gender Action Plan
GOV	Government of Vietnam
HH	Households
HIV / AIDS	Human immunodeficiency virus/ Acquired immune deficiency syndrome
HTAP	HIV and Human Trafficking Awareness and Prevention
IEC	Information, Education and Communication
KAP	Knowledge, Attitude, Practice (survey)
MOLISA	Ministry of Labor, Invalids and Social Affairs
MOT	Ministry of Transport
MOU	Memorandum of Understanding
NGO	Non-Government Organization
PAC	Provincial AIDS Centre
PE	Peer Educators
PMU	Project Management Unit
PPC	Provincial People's Committee
PPTA	Project Preparation Technical Assistance
TOR	Terms of Reference
USD	U.S. Dollar
VAAC	Vietnam Administration for HIV/AIDS Control
VND	Vietnam Dong
WU	Women's Union
YU	Youth Union

Executive Summary

1. **The project.** The VIE: Northern Mountain Roads Connectivity Project aims to enhance the access to the GMS corridors in the north-western Region through upgrading national and provincial highways where the economic and social development conditions, the transport network, the topography and the climate change effects are the most difficult in comparison with other regions in the country. Project works include upgrading of National Highway 32 in Lai Chau Province; National Highway 279 in Lao Cai Province; and Provincial Road 175 in Yen Bai Province. The project in Lao Cai Province will involve the upgrading of National Highway 279 from intersection with NH 32 to Hanoi – Lao Cai Expressway over a total length of 63.88km. The project will follow most of the existing alignment except for 2 planned realignments to construct by-passes at Khanh Yen and Duong Quy communes. The realignment sections have a combined length of 4.4km. NH 279 traverses 2 districts, Van Ban and a minor part of Bao Yen, covering 11 communes and 1 district-level town.

2. **Legal and Policy Framework.** The Resettlement Legal and Policy Framework for the project is based on laws of the Government of Vietnam and the ADB Safeguard Policy Statement (ADB, 2009). The overall objectives of the Project with respect to land acquisition and resettlement and ethnic minority peoples in the project areas are as follows: For Land Acquisition and Resettlement, the objectives are to avoid involuntary resettlement wherever possible; to minimize involuntary resettlement by exploring project and design alternatives; to enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to pre-project levels; and to improve the standards of living of the displaced poor and other vulnerable groups. For Ethnic Minority Peoples – the objectives are to design and implement projects in a way that fosters full respect for ethnic minority peoples' identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the ethnic minority peoples themselves so that they (a) receive culturally appropriate social and economic benefits, (b) do not suffer adverse impacts as a result of projects, and (c) can participate actively in projects that affect them.

3. **Socio-economic context:** The population of the immediate project area is 40,984 of which 77% is ethnic minorities. All communes have a majority ethnic minority composition. There are five main ethnic minority groups in the project areas: Tay, Thai, Xa Pho, Giay, Dao and Hmong. Tay is the largest ethnic minority group at 62% of the overall ethnic minority population of the project areas. The Xa Pho ethnic group is categorized by the Government as especially vulnerable. They have a total population of 9,000 in Vietnam. In the project area, they are present in the communes of Son Thuy, Duong Quy and Nam Xe Communes and Khanh Yen Town. The most common main occupation of household members is agriculture. Women were equally engaged in occupations as men, and there was no significant difference between men and women within the occupation groups. Access to basic social services is relatively convenient for those located near commune centres. However, it is more difficult for those in more remote villages within those communes. School attendance up to secondary school (lower secondary high school) is high. However, only a small proportion of children go on to high school (upper secondary high school). The main reason is that schools up to secondary school are located within the communes, while high schools tend to be located in district centres. The poverty rate in the project areas is quite high with an average of 28%. Some communes have very high poverty rates such as Lang Giang (43%), Nam Xe (45%), Minh Luong (59%), and Tham Duong (63%). Main underlying causes of poverty given through the focus group discussions were insufficient suitable land for farming, scarce availability of non-farm work in the local areas, low levels of agricultural skills. Villages that are more remote from the commune centres were particularly more susceptible to poverty.

4. **Consultation, Participation and Disclosure.** Meaningful consultation is an integral element of preparation and implementation for this project EMDP. Information dissemination and consultations were conducted with project stakeholder, local communities and affected households during the preparation of the project. Consultation meetings and focus group discussions were conducted in each of the project communes. A communication strategy has been prepared which includes requirements for disclosure and ongoing consultation and information sharing. The strategy highlights the need to incorporate special measures for those with low levels of literacy and use of Vietnamese language.

5. **Grievance Redress.** A Grievance Redress Mechanism (GRM) will be established for the project to address grievances and requests. The GRM is to be accessible, timely and effective in addressing issues of concern. The GRM consists of options to elevate grievances to higher levels as well as courts of law. APs may lodge a written complaint directly to the Department of Southeast Asia through the Resident Representative Office of Asian Development Bank (ADB) in Vietnam. If AP is not satisfied with the response of Southeast Asia Department, and only as a last option, APs can access ADB's Accountability Mechanism.

6. **Impacts, Risks and Benefits.** The project poses a number of negative and positive impacts. Negative impacts can be fully mitigated through programs to be implemented under the project. The project also provides a number of benefits, some of which are associated with the mitigation programs which focus on building capacities of local communities and stakeholders. A summary description is set out below.

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
(i) Land Acquisition and Resettlement Impact: (-)	Resettlement Plan prepared and agreed between ADB and the Government of Vietnam	PMU will be responsible for the updating and implementation of the RPs with the concerned provincial authorities/departments (DOLISA, WU). Project Supervision Consultants will assist finalization and implementation of the RPs.	Resourced under Resettlement Plan	Resettlement Plan. The RP is subject to updating following detailed design.
(ii) Road Safety Impact: (-/+)	Project design to include physical design features such as traffic calming measures and safety signage. Community based road safety awareness and education be provided to local communities and schools for children.	MOT, PMU, PPCs, DOT, DOE, WU, YU	Resourced Under Road Safety Program	Road Safety Plan
(iii) Risk of HIV/AIDS & Human Trafficking Impact: (-/+)	A HIV/AIDS and Human Trafficking Awareness and Prevention Program (HTAP) prepared as part of the design. The HTAP will require updating at the commencement of project implementation to finalize budget and institutional arrangements. HIV/AIDS awareness and prevention measures to be included in the contractors' contracts. Livelihood restoration/ development to form a	PMU will coordinate the development and implementation of the Program with the concerned Provincial authorities/departments. The PMU/Project Supervision Consultant will sub-contract a qualified service provider	Resourced Under HTAP Program	HIV/AIDS and Human Trafficking Awareness and Prevention Program

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
	focal approach to trafficking mitigation along with awareness.			
(iv) Disruptions to Local Communities during Construction Impact: (-)	Prioritize hire of local staff. Provide jobs requiring re-training for employees hired locally; workers are properly registered with local authorities. code of conduct and implement a strict and zero-tolerance policy to regulate gambling, prostitution, theft, wildlife poaching and forest product collection. Regular liaison meetings with local communes	Contractor, PMU	Resourced under works contracts	
(v) Communication/ Information Dissemination Impact: (+/-)	Communication, Participation and Consultation Plan to be implemented.	PMU, PSC, Contractor	VND 700 million (approx. USD 31,320) (other non-EMDP resources for communication described in Communication , Participation and Consultation Plan)	Communication, Participation and Consultation Plan

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
(vi) Improved Access and Mobility Impact : (+)	Design and construct bridge and access road	PMU, PSC, Contractor	VND 6,000 million (approx. USD 263,910)	
(vii) Opportunities for Improved Livelihoods Impact : (+)	Preparation of detailed plan, needs assessment and detailed consultations. Establishment of models, extension training, provision of inputs.	PMU will coordinate the detailed development and implementation of the Program with the concerned Provincial authorities/departments. Implementation by DARD and DOLISA.	Resourced under Resettlement Plan	Resettlement Plan. The RP is subject to updating following detailed design.
Project related work opportunities Impact: (+)	Contractor to prioritize efforts to hire local ethnic minority people. The contractor bidding documents and civil works contracts to include provision for preference for local sourcing of labour, especially unskilled labour.	PMU and PSC to ensure provisions included in bidding documents and contracts regarding provision for preference for local sourcing of labour, especially unskilled labour with priority to ethnic minority people. Contractors for implementation.	Resourced under Works Contracts.	

7. **Budget:** The EMDP specific actions are estimated to cost VND 8,040 million, including 20% contingency on direct costs for ethnic language interpreters and rural road access.

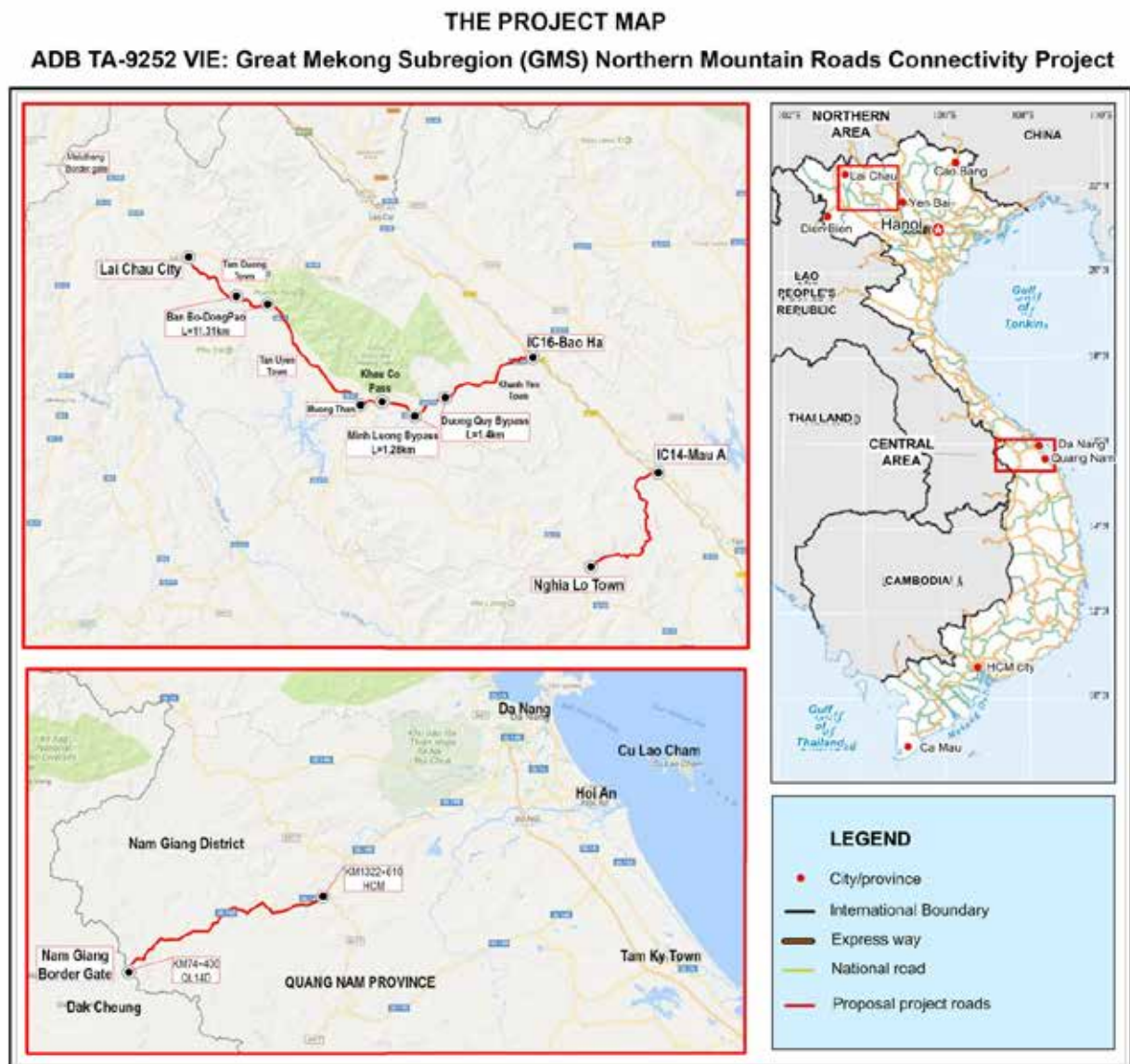
8. The Ethnic Minority Development Plan is prepared in accordance with the requirements of ADB's Safeguards Policy Statement. It is prepared to assist the project to meet the safeguards objectives (i) to design and implement projects in a way that fosters full respect for ethnic minority peoples' identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the ethnic minority peoples themselves, and (ii) so that ethnic minority peoples receive culturally appropriate social and economic benefits, and do not suffer adverse impacts as a result of projects, and can participate actively in projects that affect them.

9. This EMDP document is a draft and needs to be updated upon the completion of detail design and the updated EMDP will be prepared based on close consultation with affected communities and stakeholders and will be publicly disclosed to the affected communities.

Chapter 1 - Description of the Project

1.1. The VIE: Northern Mountain Roads Connectivity Project

10. The VIE: Northern Mountain Roads Connectivity Project aims to enhance the access to the GMS corridors in the north-western Region through upgrading national and provincial highways where the economic and social development conditions, the transport network, the topography and the climate change effects are the most difficult in comparison with other regions in the country. Project works include upgrading of National Highway 32 in Lai Chau Province (82.485km from San Thang to Khau Co); National Highway 279 (63.88 km from intersection with NH 32 to Hanoi – Lao Cai Expressway); and Provincial Road 175 in Yen Bai Province (51.375km from intersection with NH32 to intersection with PR 151). A Map of the roads considered in the PPTA is set out below.



1.2. Project Components in Lao Cai Province

11. The project in Lao Cai Province will involve the upgrading of National Highway 279 from intersection with NH 32 to Hanoi – Lao Cai Expressway over a total length of 63.88km. The project will follow most of the existing alignment except for 2 planned realignments to construct by-passes at Khanh Yen and Duong Quy communes. The realignment sections have a combined length of 4.4km.

Table 1-1: List of Main Project Works

Highway	Location	Description	Length (km)
PR 279	Lao Cai Province. From intersection with NH 32 to Hanoi – Lao Cai Expressway	Existing alignment plus 2 by-passes (Khanh Yen, Duong Quy) with combined estimated length 10.2km	63.88

12. NH 279 traverses 2 districts, Van Ban and a minor part of Bao Yen, covering 11 communes and 1 district-level town.

Table 1-2. Locations Traversed by NH279 Upgrade

Province	District	Commune/ Town
Lao Cai	Van Ban,	Dương Quỳnh
		Hoà Mạc
		Khánh Yên Thượng
		Làng Giàng
		Minh Lương
		Nậm Xé
		Sơn Thủy
		Tân An
		Tân Thượng
		Thầm Dương
		TT. Khánh Yên
	Bao Yen	Bảo Hà

1.3. Rationale for the Project and Description of the Project Area

13. In the recent past, ADB activities in the Transport sector in Viet Nam mainly focused on supporting the government to develop the key GMS expressway infrastructure. This network expansion either almost complete or is under implementation and further expressway expansion is increasingly being considered under public–private partnership/build-operate-transfer (PPP/BOT) modality. Attention needs to be broadened to other road priorities as put forward in the transport sector assessment, strategy, and road map. In Northwestern Viet Nam, the Noi Bai-Lao Cai expressway is part of the GMS Kunming–Hai Phong Transport Corridor that connects the Ha Noi region to Yunnan Province in the PRC. In Central Viet Nam, the GMS East-West Economic Corridor connects Tien Sa port in Danang city to Savannakhet Province in Lao PDR. The next-tier road network connecting to these GMS corridors is still underdeveloped.

Provinces in the corridors' proximity have not fully benefitted from the improved GMS corridors and have generally developed at a slower pace than the rest of the country.

14. The project roads that are currently considered for further analysis under the project preparatory technical assistance (PPTA) include three highways (NH32, NH279 and upgraded PR175) in Yen Bai, Lai Chau and Lao Cai provinces connecting to Noi Bai-Lao Cai Expressway and NH14D in Quang Nam province connecting to GMS East-West Economic Corridor. All four roads are located in the most difficult terrain crossing high mountains or large rivers with lower class technical standards that do not meet the increasing transport demands and do not provide all-year accessibility. The proposed project roads are prone to climate change effects such as flash flooding and increasing temperature variations. The project will upgrade the design class, ensure standard is consistent over the entire length and integrate climate resiliency features (reinforced slope protection, increased drainage capacity, etc.) in the design of the proposed roads.

1.4. Introduction to the Ethnic Minority Development Plan

15. The Ethnic Minority Development Plan is prepared in accordance with the requirements of ADB's Safeguards Policy Statement. It is prepared to assist the project to meet the safeguards objectives (i) to design and implement projects in a way that fosters full respect for ethnic minority peoples' identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the ethnic minority peoples themselves, and (ii) so that ethnic minority peoples receive culturally appropriate social and economic benefits, and do not suffer adverse impacts as a result of projects, and can participate actively in projects that affect them.

16. This EMDP document is a draft and needs to be updated upon the completion of detail design and the updated EMDP will be prepared based on close consultation with affected communities and stakeholders and will be publicly disclosed to the affected communities.

Chapter 2 - Social Impact Assessment

2.1 Legal and Policy Framework Related to Ethnic Minority Peoples

2.1.1 Law and regulations of the Government of Vietnam

- (i) The Constitution of the Socialist Republic of Vietnam adopted on 28 November 2013 recognizes the equality of all ethnic groups under one nation, the right to maintain their unique culture and language as well as the obligation of the State to promote equitable development of the living conditions of ethnic minority. The Constitution defines indigenous people based on the following criteria: (i) a language other than the national language; (ii) has long lived on that land, or has a relationship with that land; and a long-standing social organization; (iii) self-sufficient production system; and (iv) distinct cultural identities and identified as a distinct cultural group recognized by neighboring ethnic groups. Article 5 of Constitution 2013 recognizes the following general principles:
- (ii) The Land Law of 2013 (No.45/2013/QH13) enacted on 10/12/2013 recognizes the right of communities residing together, sharing the same customs and practices or same family line to have land use rights recognized by the State. It also states that such communities have rights to use land compensated for acquired land and non-land assets. The same law states that ethnic minority communities can be allocated or have long term and stable use of agricultural land recognized in order to preserve national identities associated with the traditions and customs of the people. (In the project affected areas, ethnic minority households tend to have individual rather than collective land use rights).
- (iii) The Government of Viet Nam has issued various policies on ethnic minority development issues, which can be divided into three groups of basic policy solutions, namely, (i) relating to facilitating agricultural settlement for ethnic minority people (ii) relating to facilitating the overall socio-economic development of the ethnic minority people in the uplands; and, (iii) relating to land allocation and land use in upland areas formerly inhabited by ethnic minorities.
- (iv) Decision 900/QĐ-TTg date 20th June 2017, issued the list of poverty commune, border area commune and safety area communes for investment of the program 135 – period 2017 – 2020.
- (v) Decree 05/2011/ND-CP issued 14th Jan 2011 on Ethnic Minority Mission, Regulations on 16 ethnic groups, need of special assistance. (The Xa Pho which are present in the project area in Lao Cai are specified in this decree).
- (vi) Circular No. 01/2012/TTLT-BTP-UBDT dated 17 January 2012 guiding legal assistance for the ethnic minority people sets of the roles and responsibility of the Committee for Ethnic Minority Affairs in supporting ethnic minority people in the grievance redress process.

2.1.2 ADB Policies

17. The ADB Safeguard Policy Statement (2009) consolidates three existing safeguard policies: involuntary resettlement (IR), indigenous peoples (IP), and environment. The objectives of the IR policy are to: (i) where possible, avoid involuntary resettlement; (ii) explore design

alternatives to avoid or reduce impacts; (iii) restore livelihoods and (iv) improve living standards of poor and vulnerable households. The IP policy objectives are to: (i) design and implement projects that foster full respect for IP's identity, dignity, human rights, livelihood systems and cultural uniqueness as defined by IPs themselves; and (ii) ensure that IPs receive culturally appropriate social and economic benefits, do not suffer adverse impacts as a result of projects, and can participate actively in projects that affect them.

18. The ADB Policy on Gender and Development (1998) adopts gender mainstreaming as a key strategy for promoting gender equity, and for ensuring that women participate in and that their needs are explicitly addressed in the decision-making process for development activities. The new safeguard policy and requirements also reiterates the importance of including gender issues in the preparation of safeguards documents at all stages to ensure that gender concerns are incorporated, including gender-specific consultation and information disclosure. This includes special attention to guarantee women's assets, property, and land-use rights and restoration/improvement of their living standards; and to ensure that women will receive project benefits. Other policies of the ADB that have bearing on the EMDP are the (i) Public Communications Policy (March 2005), and (ii) Accountability Mechanism (2012).

2.2 Socio-Economic and Cultural Description of the Project Area

19. The following section provides an overview of some key socio-economic indicators of ethnic minority households in the project area. The information is based on the results of a socio-economic survey and focus group discussions. The socio-economic survey was conducted together with the inventory of losses used to prepare the resettlement plan from December 2017 to January 2018. The survey results used here are based on 139 household survey results of ethnic minority households included in the survey.

Table 2-1: Socio-Economic Survey Sample of Ethnic Minority Households

District/ Commune	No. of Ethnic Minority Household Respondents
Van Ban District	139
Khanh Yen Town	2
Lang Giang Commune	19
Khanh Yen Thuong Commune	4
Hoa Mac Commune	23
Duong Quy Commune	12
Tham Duong Commune	23
Minh Luong Commune	8
Tan Thuong Commune	2
Son Thuy Commune	15
Nam Xe Commune	31

20. A total of 21 focus group discussions were conducted in November 2017 and August 2018 in 10 communes. The total participants numbered 301 comprising 139 men and 162 women. Almost all (286 people) were ethnic minority people. Details of the focus group discussions are set out in Appendix 3. Data sources for tables are indicated underneath the tables.

21. The locations, attendance and ethnic composition of the discussion groups are presented in the following two tables.

Table 2-2: List of Focus Groups

Commune	Focus Groups	Male	Female	Total
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Dương Quý	2	13	19	32
Hòa Mạc	2	6	10	16
Khánh Yên Thượng	2	9	9	18
Làng Giáng	2	21	6	27
Minh Lương	3	29	53	82
Nậm Xé	2	25	23	48
Sơn Thủy	2	6	14	20
Tân Thượng	2	3	12	15
Thăm Dương	2	20	10	30
Thị trấn Khánh Yên	2	7	6	13
Total	21	139	162	301

Table 2-3: Ethnic Composition of Focus Groups

Commune	Dao	Tày	Hmong	Giáy	Thai	Ethnic Minority *	Kinh	Total
Dương Quý	10	22	0	0	0		0	32
Hòa Mạc	0	16	0	0	0		0	16
Khánh Yên Thượng	0	12	0	1	0		5	18
Làng Giáng	0	22	0	4	0		1	27
Minh Lương	0	0	0	0	0	76	6	82
Nậm Xé	0	0	0	0	0	45	3	48
Sơn Thủy	15	5	0	0	0		0	20
Tân Thượng	5	10	0	0	0		0	15
Thăm Dương	14	7	0	8	1		0	30
Thị trấn Khánh Yên	0	5	0	8	0		0	13
Total	44	99	0	21	1	121	15	301

* Note: The FGDs in Minh Luong and Lang Giang only recorded whether participants were ethnic minority or Kinh.

2.3 Demographic Characteristics of the Project Area

22. The immediate project area has a population of 40,984 people and average household size of 4.6. The towns and communes vary greatly in population size from Khanh Yen Town, Duong Quy Commune and Minh Luong having higher populations in the range of 5,000 to 6,500 people to areas of smaller population such as Nam Xe and Tham Duong with populations ranging from 1,252 to 2,245.

Table 2-4: Population of the Immediate Project Area

District/Commune	No. of HHs	No. of persons	Ave HH size
Van Ban District			
Khanh Yen Town	1,828	6,524	3.6
Lang Giang	948	4,469	4.7
Khanh Yen Thuong	898	4,094	4.6
Hoa Mac	700	3,506	5.0
Duong Quy	1,276	6,156	4.8
Tham Duong	432	2,245	5.2
Minh Luong	1,072	5,198	4.8
Tan Thuong	879	3,987	4.5
Son Thuy	732	3,553	4.9
Nam Xe	234	1,252	5.4
Total	8,999	40,984	4.6

(Source: Commune records)

23. There are a high proportion of ethnic minorities most of the project communes. All communes have a majority ethnic minority composition except for Khanh Yen Town which has 34%. The other communes have proportions 71% to 97%.

Table 2-5: Ethnic Minority Population in the Immediate Project Areas

District/Commune	Total HHs	EM HHs	EM HHs as % of Population
Van Ban District			
Khanh Yen Town	1,828	623	34%
Lang Giang	948	902	95%
Khanh Yen Thuong	898	638	71%
Hoa Mac	700	661	94%
Duong Quy	1,276	1,211	95%
Tham Duong	432	417	97%
Minh Luong	1,072	1,022	95%
Tan Thuong	879	632	72%
Son Thuy	732	637	87%
Nam Xe	234	227	97%
Total	8,999	6,970	77%

(Source: Commune records)

24. There are five main ethnic minority groups in the project areas: Tay, Thai, Xa Pho, Giay, Dao and Hmong. Also present are Nung, Hoa, Muong and Cao Lan. Tay is the largest ethnic minority group at 62% of the overall ethnic minority population of the project areas and in large numbers in each commune. Thai are in large numbers in Tham Duong. Xa Pho in large numbers in Lang Giang and Tham Duong. Dao in large numbers in most communes except Khanh Yen Town. Hmong people are mostly located in Nam Xe, Tan Thuong, Son Thuy and Khanh Yen Thuong.

Table 2-6: Ethnic Minority Groups in the Immediate Project Areas by Households

District/Commune	Tay	Thai	Xa Pho	Giay	Dao	Hmong	Nung	Hoa	Muong	Cao Lan
Van Ban District										
Khanh Yen Town	520	1	5	66	13	2	5	3	5	3
Lang Giang	501			272	111	18				
Khanh Yen Thuong	555				28	55				
Hoa Mac	661									
Duong Quy	931	122	46	2	110					
Tham Duong	55	135		57	169					1
Minh Luong	958	10			53				1	
Tan Thuong	14			1	560	53	2	1	1	
Son Thuy	79		298		140	120				
Nam Xe	19		2		76	128			2	
Total HHs	4,293	268	351	398	1,260	376	7	4	9	4
As %	62%	4%	5%	6%	18%	5%	0%	0%	0%	0%

(Source: Commune records)

Note: Due to rounding, some ethnic groups with population of less than 0.5% of the commune population are calculated as 0%.

2.4 Social and Cultural Characteristics of Main Ethnic Groups

25. Below are descriptions of the social, cultural and traditional livelihood practices of the main ethnic groups in the project areas.

2.4.1 Dao

26. The Dao belong to the Hmong-Dao language group. They have a population of 621,000 and are located in highland regions across northern Vietnam. Their ancestors migrated to Vietnam from southern China in the 18th and 19th centuries.

27. There are three main types of houses built by Dao: level with the ground (typical of sedentary communities) or on stilts or part stilts and part built ground level (typical of upland communities).

28. Traditional livelihood of upland Dao focused on swidden or shifting milpa type cultivation. Sedentary communities of valley areas cultivate crops, especially rice, maize along with other vegetables. Over the past decades and much associated with improvements in irrigation, Dao people have increasingly shifted to sedentary forms of cultivation and moved to lower lying valley areas. Animal husbandry and fish production are also typical farming practices. Handicrafts tend to be sidelines undertaken during slack periods of the annual farming cycles.

29. Traditional society is composed of lineages and branches of lineages. Each lineage is headed by a chief ("Toc Truong") who played an important role in community life. Society is patriarchal and patrilineal.

30. The Dao practices ancestor worship. They also worship Ban Vuong, the common mythical ancestor of the Dao people. In spiritual life, the influence of Taoism, Buddhism and Confucianism is very marked – especially Taoism in their ceremonies and festivals.

31. They have a rich tradition of folk arts and literature. The Dao have long used Chinese script for religious books, genealogical records, and to transcribe tales, stories and verse. Principal literature genres are ancient tales, humorous tales, fables, riddles and folk-songs.

2.4.2 Giay

32. The Giay belong to the Tay-Thai language group. They have a population of around 50,000 and inhabit mainly Lai Cai Province (Bat Xat, Bao Thang and Muong Khong districts), Lai Chau Province (Phong Tho and Muong Te districts) and Ha Giang Province. Ancestors of the Giay migrated from southern China about 200 years ago. They have many similarities with the Tay, Thai, Nung and Bo Y in terms of custom and language.

33. The Giay generally live in stilted houses. However, those in Lai Chau typically build houses level with the ground. The Giay are well versed in irrigated terrace rice farming. Besides rice growing, slash and burn cultivation supplies corn, potatoes, cassava, gourd and vegetables. Animal husbandry includes mainly pigs and chickens. Handicrafts are not well developed except for basketry as well as bamboo objects for family use. Traditionally, farming land was communal rather than individual and there is a strong practice of mutual assistance.

34. Society is patriarchal and patrilineal. On the ancestral altar located in the central bay of the Giay house, there are usually many incense stick vases, each for the worship of a deity such as that of heaven, of earth, spirits of ancestors, the genie of hearth, of soil and others.

2.4.3 Hmong

35. The Hmong belong to the Hmong-Dao language group. They have a population of 788,000 and are located widely across northern Vietnam, including Yen Bai, Lai Chau and Lao Cai provinces. The Hmong are part of the San Miao of South China. Their ancestors emigrated to northern Vietnam around the end of the 18th and early 19th centuries associated with the Hmong struggle against Chinese feudal lords.

36. The Hmong house is often rudimentary in architecture, comprising three bays and two lean-tos. The altar to ancestors is located in the central bay. The lateral bays serve as kitchen and bedrooms. The Hmong family is patriarchal and patrilocal. The patrilineal nuclear family is the rule in society.

37. In the past, the Hmong practiced shifting cultivation but have now adopted a sedentary lifestyle, often constructing hydraulic systems to develop irrigated terraced fields. The principal food crop grown by Hmong is corn, while rice takes second place. Besides irrigated fields, the Hmong also grow rice on terraces. In corn fields, the alternatively plant various leguminous species such as green beans and peas. The principal fibre plant is hemp. They also grow cotton and are good weavers. Traditionally the most wide-spread plant of the Hmong was poppy to produce opium which formed an important place in their economy. Peach, plum and apple are famous fruit species in Hmong areas but their sales are still limited due to poor transportation. Poultry and cattle rearing is relatively well-developed. Most Hmong families have buffalos, oxen and horses and draught animals. Each family raises pigs and chicken. Forest products constitute an important income source and hunting is commonly practiced. Handicrafts are well developed: weaving; cloth dyeing with indigo; making of paper, agricultural implements and silver jewellery; leather tanning; basketry; and carpentry.

38. The Hmong worship spirits of the house, door and cattle. Buddhism, Confucianism and Taoism have also left their mark on Hmong spiritual beliefs. Catholicism is also practiced in some areas such as Sapa in Lao Cai Province. In the past, the Hmong had no script. Literary works were preserved and disseminated orally. This oral literature included legends, folk-songs, riddles, and proverbs. The arts are rich in music and dance. Musical instruments comprise skin drums, flute and harps, which provide rhythm to folk-dances and accompany songs performed in ceremonies.

2.4.4 Tay

39. The Tay belong to the Thai-Ka Dai language group. They have a population of over 1,190,000 and are located mainly along the belt from Quang Ninh to Lao Cai and Yen Bai.

40. The Tay village typically has 40-50 houses built at the foot of a mountain or hill near a river or stream. The houses are on stilts with a two-flap or four-flap roof of palm leaves, tiles or thatch. The inside is divided into two by a partition. The rear section serves as bedroom and kitchen, the front as guest reception area where the altar to ancestors is located. Society is patriarchal. Traditionally, the father decided all matters with the eldest son as designated successor. The greater part of the family inheritance is given to the eldest son. The latter's children are given accorded greater consideration than those of his younger brothers.

41. The Tay are mainly wet-rice farmers. The techniques are well advanced and commonly include irrigation systems. Market gardening is a recent innovation, but traditionally the Tay have engaged in producing specialized crops such as anise, soya beans, cinnamon (Yen Bai), and timber. Also grown are fruit trees (pear, apricot, peach, tangerine), indigo plant and chestnuts. Growing bamboo for use in construction and basketry is also common. Animal rearing is quite developed: poultry, pigs, oxen and buffalos along with fish-rearing in ponds.

42. The culture of the Tay has been deeply influenced by that of the Viet due to their long-standing co-existence. Similar to the Viet, they also had a Nom based script with a rich literary history. Like the Viet, the Tay are influenced by Buddhism, Confucianism and Taoism. The rituals of marriage, funerals and naming new-borns follow Confucian prescriptions and very similar to those of the Viet. The earth genie is worshipped in a sanctuary at the foot of a banyan tree. Local deities are worshipped in a secluded forest area or on the top of a mountain considered sacred. In their temples, the Tay worship all the deities of the three religions, the spirits of the rivers, the mountains and others. The ancestral altars of many families also include the veneration of Confucius, Buddha and Kwan Yin (the Goddess of Compassion).

2.4.5 Thai

43. The Thai belong to the Tay-Ka Dai language group. They have a population of 1,040,00 and are located in Northwestern Vietnam from the Red to Lam River. The main sub-groups are White Thai (Tay Khao) and Black Thai (Tay Dam). Besides Vietnam, they are also present in Laos, Thailand and southern China. They tend to settle in fertile valleys, river basin and besides streams where they practice wet-rice cultivation.

44. The Thai village generally comprises 40-50 houses. The Thai live in houses on bamboo or wooden stilts with wattle and daub. The house is generally spacious. The roof of the Black Thai house is shaped like to tortoise carapace while that of the White Thai is rectangular and provided with a balcony.

45. Society is patrilineal and patrilocal. However, the numbers of families based on patriarchal lineages has decreased in favour of smaller ones. Although patriarchy remains the foundation of society. Historically Thai society was feudal with clear class differentiation which reflected in the distribution of productive land.

46. The Thai have highly developed wet-rice farming cultivation practices with high yields due to small-scale irrigation works enabling two annual crops. Besides rice, they also produce vegetables, often in terraced fields. Gathering, fishing and hunting also play a large role in their livelihoods. From the forest, they collect building materials and food during periods of food shortages such as prior to harvest. Handicrafts, such as patterned handmade cloth with floral and animal motifs is also practiced.

47. The Thai have a rich cultural and spiritual heritage comprised of those created by the common people and those by the upper class. The Thai traditional written form is Sanskrit based. Many valuable legacies have been discovered such as historical books of thousands of pages, folk songs, writings on morality, religion, customs and practices, legends, stories and genres. Thai arts are rich and unique. There are folk dances such as 'xoe vong' performed by young people on festival nights, dances of reapers, or rowers, dances with shields and with bamboo sticks ('mua sap').

2.4.6 Xa Pho

48. The Xa Pho are a sub-group of the Phu La ethnic group which is Tibeto-Burman linguistic group. They have a population of 9,000 and located in Lai Chau, Lao Cai, Ho Giang and Son La Provinces. They are categorized by the Government as being a particularly vulnerable ethnic group. They are located in Son Thuy, Duong Quy and Nam Xe Communes and in Khanh Yen Town in the project area.

49. The Phu La lead a settled mode of living on mountain slopes with each hamlet being composed of several houses. In Bac Ha District of Lao Cai they tend to be grouped in clusters of hamlets next to Hmong, Dao and Hoa ethnic groups. The Xa Pho tend to prefer houses built on stilts, especially in Bat Xat District of Lao Cai.

50. The Xa Pho grow mainly rice and vegetables in milpas as well as beans. Animal husbandry mainly involves pigs and goats. Hunting is also commonly practiced. They have a common practice of mutual assistance in agricultural work. Society is patriarchal and patrilocal. Spiritual life is based on ancestor worship.

2.5 Access to Social Services

51. Access to district-level services for the communes in the project area is relatively convenient with an average distance of 15km and communes being either on or in very close proximity to the highway. Four of the communes have a distance of less than 10km with the remainder being 15km to 35km distant. Minh Luong and Nam Xe communes are furthestest from district centres at 30km and 35km, respectively.

2.5.1 Health

52. The average distance to hospitals is 14km with hospitals being located in district centres. All the groups in the studied areas reported that access to commune and district health services was generally good and convenient and they had health insurance. However, access to these services by more remote villages of the communes could be more difficult such as the Hmong people in Tan Thuong and those in remote villages of Lang Giang.

Table 2-7: Distance from Communes to Services (km)

Commune	From commune to highway	From commune to district center	From commune to hospital, health station	From commune to the nearest bus station
Khánh Yên Town	-	-	-	-
Làng Giàng	-	3.0	3.0	2.5
Khánh Yên Thượng	0.3	1.5	3.0	4.0
Hòa Mạc	-	6.0	6.0	6.0
Dương Quỳnh	-	15.0	15.0	15.0
Thắm Dương	-	18.0	18.0	18.0
Minh Lương	-	30.0	30.0	30.0
Tân Thượng	-	21.0	21.0	1.0
Sơn Thủy	-	15.0	13.0	13.0
Nậm Xé	0.3	35.0	35.0	35.0
Average	0.1	14.5	14.4	12.5

(Commune People's Committee)

2.5.2 Education Attainment

53. All the groups in the studied areas reported that school attendance was very high up to year nine and that there were primary and lower secondary schools in all the areas. However, a very proportion of children go on to upper secondary school. The main reasons given were reluctance for the children to travel relatively far distances to upper secondary schools in the district centres as well as tuition costs.

54. All communes have a kindergarten, primary school and lower secondary school. Only Khan Yen Town has an upper secondary high school. For other communes the nearest upper secondary high school would be located at the district centres. Access to upper secondary schools for the communes far from the district centres is constrained by longer distances for children to travel on a daily basis.

Table 2-8: School Classrooms in the Project Areas

No.	School	Number of rooms				
		Total	Temporary house	Semi-permanent , one-story brick house	Multi-storeyed house	Library
Khánh Yên Town	Hoa Sen Kindergarten	7			7	
	Hoa Hồng Kindergarten	11			11	
	Primary school	21			21	1
	Secondary school	14			14	1
Làng Giàng Commune	Kindergarten	14		14		
	Primary school	11			11	1
	Secondary school	13			13	1
	High school	-				
Khánh Yên Thượng Commune	Kindergarten	10		10		
	Primary school	18			18	1
	Secondary school	13			13	1
	High school	-				
Hòa Mạc Commune	Kindergarten	11		11		
	Primary school	15		15		
	Secondary school	22			22	
	High school	-				
Dương Quỳ Commune	Kindergarten No.1	10	-	10		
	Kindergarten No.2	9	6	3		
	Primary school	26	3	9	14	1
	Secondary school	19	-	0	19	1
	High school	15	-	0	15	1
Thẩm Dương Commune	Kindergarten No.1	-				
	Kindergarten No.2	-				
	Central Kindergarten	-				

No.	School	Number of rooms				
		Total	Temporary house	Semi-permanent , one-story brick house	Multi-storeyed house	Library
	Primary school	14		14		
	Secondary school	16		16		1
Minh Lương Commune	Kindergarten	-				
	Primary school	49	-	11	38	3
	Secondary School	-				
	High school	-				
Tân Thượng Commune	Kindergarten	-				
	Primary school	43		43		2
	Secondary School	-				
	High school	-				
Sơn Thủy Commune	Kindergarten	7		7		
	Primary school No.1	5		5		
	Primary school No.2	5		5		
	Secondary school	8		8		1
Nậm Xé Commune	Kindergarten	13		13	0	0
	Primary school	16		16	0	1
	Secondary school	11		11	0	1
	High School					

(Commune People's Committee)

55. The SES survey gathered information on the highest education attainment of household members. For most, the highest education attainment was primary and secondary school (20% and 32%, respectively) while 13% had completed high school. The average of those who responded as being illiterate was 7%. The highest proportions of illiteracy were in Nam Xe, Khanh Yen Thuong (14% each) and Tham Duong (12%).

Table 2-9: Education Attainment of Household Members

District/ Commune	Illiterate	Primary school	Secondary school	Not finish High school	High school	College	University and above	Under school age	Total
Van Ban District									
Khanh Yen Town	0%	12%	36%	16%	17%	0%	14%	5%	100%

Lang Giang	6%	26%	33%	4%	14%	4%	7%	6%	100%
Khanh Yen Thuong	14%	27%	18%	9%	27%	0%	0%	5%	100%
Hoa Mac	1%	9%	30%	8%	16%	3%	18%	14%	100%
Duong Quy	1%	19%	34%	6%	4%	4%	15%	15%	100%
Tham Duong	12%	27%	27%	4%	9%	2%	4%	14%	100%
Minh Luong	7%	27%	39%	2%	11%	0%	0%	14%	100%
Tan Thuong	4%	19%	47%	4%	11%	2%	11%	4%	100%
Son Thuy	6%	25%	37%	4%	16%	1%	4%	7%	100%
Nam Xe	14%	18%	25%	4%	14%	3%	7%	15%	100%
Total %	7%	20%	32%	6%	13%	2%	9%	11%	100%

(SES survey)

2.5.3 Livelihood

56. The project's socio-economic survey found that the most common main occupation of household members was agriculture (40%) followed by public sector (11%). Women were equally engaged in occupations as men, with the most common occupations in which women were represented being agriculture and public sector at similar rates to men. Women were more likely than men to be represented in the occupation categories of agriculture and and less likely to be engaged in hired labour compared to men.

Table 2-10: Main Occupation of Household Members

District/ Commune	Sex	Agriculture	Livestock breeding	Business/S ervice	Restaurant	Worker	Public sector	Private sector	Housewife	Hired labor	Freelancer	Other	Total
Khanh Yen Town	M	1	1	2	0	0	3	1	0	0	8	1	17
	F	0	1	0	0	0	0	0	0	0	1	1	3
Lang Giang	M	22	0	2	0	4	3	0	0	5	1	7	44
	F	26	0	1	0	2	1	0	0	2	1	10	43
Khanh Yen Thuong	M	2	0	0	0	1	1	0	0	0	0	2	6
	F	3	0	0	0	0	1	0	0	0	2	2	8
Hoa Mac	M	8	1	7	1	1	11	1	0	3	5	11	49
	F	16	2	5	0	0	11	1	1	2	2	17	57
Duong Quy	M	11	0	2	0	0	4	0	0	1	0	5	23
	F	11	0	2	0	0	4	0	0	0	0	3	20
Tham Duong	M	15	1	0	0	0	1	1	0	5	1	4	28
	F	18	1	1	0	0	1	1	0	3	5	4	34
Minh Luong	M	8	0	0	0	0	1	0	0	3	1	3	16
	F	11	0	1	0	0	1	0	0	0	0	2	15
Tan Thuong	M	1	0	0	0	0	1	0	0	0	0	1	3
	F	1	0	0	0	0	2	0	0	1	0	1	5
Son Thuy	M	3	0	1	0	2	3	0	0	6	3	5	23
	F	11	2	1	0	2	2	0	1	4	0	5	28
Nam Xe	M	27	0	4	1	2	5	1	5	0	3	20	68
	F	36	2	4	0	1	10	0	2	0	0	12	67

District/ Commune	Sex	Agriculture	Livestock breeding	Business/S ervice	Restaurant	Worker	Public sector	Private sector	Housewife	Hired labor	Freelancer	Other	Total
Total	Sum	231	10	31	2	15	63	5	9	35	25	116	557
	as %	40 %	2 %	5 %	0 %	3 %	11 %	1 %	2 %	6 %	4 %	20 %	100 %
	M	98	3	18	2	10	33	4	5	23	22	59	277
	F	133	8	15	0	5	33	2	4	12	11	57	280
	%M	35 %	1 %	6 %	1 %	4 %	12 %	1 %	2 %	8 %	8 %	21 %	100 %
	%F	48 %	3 %	5 %	0 %	2 %	12 %	1 %	1 %	4 %	4 %	20 %	100 %

(SES survey)

2.5.4 Water, Energy Sources and Sanitation

57. The majority of ethnic minority households source their drinking water from rivers and streams (43%) and communal tap (27%). While 22% had piped water and 4% used dug wells. The rates were similar for sources for bathing and washing.

Table 2-11: Sources of Water for Drinking

District/ Commune	Unit	Rainwater	Dug well water	Drilled well water	Tap water	Piped water	Pond, river, lake	Other	Total
Van Ban District	HH	0	6	1	38	31	60	3	139
	%	0%	4%	1%	27%	22%	43%	2%	100%
Khanh Yen Town	HH	0	0	0	0	0	2	0	2
	%	0%	0%	0%	0%	0%	100%	0%	
Lang Giang	HH	0	1	0	3	4	11	0	19
	%	0%	5%	0%	16%	21%	58%	0%	
Khanh Yen Thuong	HH	0	0	0	0	1	3	0	4
	%	0%	0%	0%	0%	25%	75%	0%	
Hoa Mac	HH	0	2	1	8	0	12	0	23
	%	0%	9%	4%	35%	0%	52%	0%	
Duong Quy	HH	0	3	0	3	0	6	0	12
	%	0%	25%	0%	25%	0%	50%	0%	
Tham Duong	HH	0	0	0	11	6	6	0	23
	%	0%	0%	0%	48%	26%	26%	0%	
Minh Luong	HH	0	0	0	3	2	3	0	8
	%	0%	0%	0%	38%	25%	38%	0%	
Tan Thuong	HH	0	0	0	1	1	0	0	2
	%	0%	0%	0%	50%	50%	0%	0%	
Son Thuy	HH	0	0	0	4	4	7	0	15
	%	0%	0%	0%	27%	27%	47%	0%	
Nam Xe	HH	0	0	0	5	13	10	3	31
	%	0%	0%	0%	16%	42%	32%	10%	

(SES survey)

58. Fifty –four percent rated their water quality as good, 38% as acceptable and 8% as not good.

Table 2-12: Household Self-Assessment of Water Quality

District/ Commune	Unit	Good	Acceptable	Not good	Other	Total
Van Ban District	HH	75	53	11	0	139
	%	54%	38%	8%	0%	100%
Khanh Yen Town	HH	2	0	0	0	2
	%	100%	0%	0%	0%	100%
Lang Giang	HH	9	10	0	0	19
	%	47%	53%	0%	0%	100%
Khanh Yen Thuong	HH	3	1	0	0	4
	%	75%	25%	0%	0%	100%
Hoa Mac	HH	10	12	1	0	23
	%	43%	52%	4%	0%	100%
Duong Quy	HH	5	6	1	0	12
	%	42%	50%	8%	0%	100%
Tham Duong	HH	14	8	1	0	23
	%	61%	35%	4%	0%	100%
Minh Luong	HH	8	0	0	0	8
	%	100%	0%	0%	0%	100%
Tan Thuong	HH	2	0	0	0	2
	%	100%	0%	0%	0%	100%
Son Thuy	HH	4	5	6	0	15
	%	27%	33%	40%	0%	100%
Nam Xe	HH	18	11	2	0	31
	%	58%	35%	6%	0%	100%

(SES Survey)

59. A very large proportion reported using public toilets (65%) and about 15% using toilets over fish ponds. The proportion of toilets in house was 14% for the three types.

Table 2-13: Household Sanitation

District/ Commune	Unit	Tank toilet	Toilets in house with septic tanks	No toilets	Public toilets	Toilets beyond fish pond	Toilets in house leading to water source	Toilets in house leading to wastewater source	Other	Total
Van Ban District	HH	6	2	1	90	21	5	12	2	139
	%	4%	1%	1%	65%	15%	4%	9%	1%	100%
Khanh Yen Town	HH	0	1	0	1	0	0	0	0	2
	%	0%	50%	0%	50%	0%	0%	0%	0%	100%

Lang Giang	HH	0	0	0	10	9	0	0	0	19
	%	0%	0%	0%	53%	47%	0%	0%	0%	100%
Khanh Yen Thuong	HH	0	0	0	2	1	0	1	0	4
	%	0%	0%	0%	50%	25%	0%	25%	0%	100%
Hoa Mac	HH	0	0	0	21	2	0	0	0	23
	%	0%	0%	0%	91%	9%	0%	0%	0%	100%
Duong Quy	HH	0	0	0	10	1	1	0	0	12
	%	0%	0%	0%	83%	8%	8%	0%	0%	100%
Tham Duong	HH	1	0	0	14	1	2	5	0	23
	%	4%	0%	0%	61%	4%	9%	22%	0%	100%
Minh Luong	HH	4	1	0	0	3	0	0	0	8
	%	50%	13%	0%	0%	38%	0%	0%	0%	100%
Tan Thuong	HH	0	0	0	2	0	0	0	0	2
	%	0%	0%	0%	100%	0%	0%	0%	0%	100%
Son Thuy	HH	0	0	1	10	2	0	2	0	15
	%	0%	0%	7%	67%	13%	0%	13%	0%	100%
Nam Xe	HH	1	0	0	20	2	2	4	2	31
	%	3%	0%	0%	65%	6%	6%	13%	6%	100%

(SES Survey)

60. Almost all (95%) have access to the national grid for electricity and another 4% use a private generator.

Table 2-14: Household Sources of Energy for Lighting

District/ Commune	Unit	National grid	Private grid	Private generator	Gas/petrol	Gas cylinder	Total
Van Ban District	HH	132	1	6	0	0	139
	%	95%	1%	4%	0%	0%	100%
Khanh Yen Town	HH	2	0	0	0	0	2
	%	100%	0%	0%	0%	0%	100%
Lang Giang	HH	18	1	0	0	0	19
	%	95%	5%	0%	0%	0%	100%
Khanh Yen Thuong	HH	4	0	0	0	0	4
	%	100%	0%	0%	0%	0%	100%
Hoa Mac	HH	23	0	0	0	0	23
	%	100%	0%	0%	0%	0%	100%
Duong Quy	HH	12	0	0	0	0	12
	%	100%	0%	0%	0%	0%	100%
Tham Duong	HH	23	0	0	0	0	23
	%	100%	0%	0%	0%	0%	100%
Minh Luong	HH	8	0	0	0	0	8
	%	100%	0%	0%	0%	0%	100%
Tan Thuong	HH	2	0	0	0	0	2
	%	100%	0%	0%	0%	0%	100%
Son Thuy	HH	15	0	0	0	0	15

District/ Commune	Unit	National grid	Private grid	Private generator	Gas/petrol	Gas cylinder	Total
	%	100%	0%	0%	0%	0%	100%
Nam Xe	HH	25	0	6	0	0	31
	%	81%	0%	19%	0%	0%	100%

(SES Survey)

61. Main sources for energy for cooking are wood (40%), gas cylinder (39%), kerosene (12%) and electricity (9%).

Table 2-15: Household Sources of Energy for Cooking

District/ Commune	Unit	Electric	Gas/ petrol	Gas cylinder	Charcoal	Wood/ Straw	Other	Total
Van Ban District	HH	12	17	54	0	56	0	139
	%	9%	12%	39%	0%	40%	0%	100%
Khanh Yen Town	HH	0	0	1	0	1	0	2
	%	0%	0%	50%	0%	50%	0%	100%
Lang Giang	HH	0	5	9	0	5	0	19
	%	0%	26%	47%	0%	26%	0%	100%
Khanh Yen Thuong	HH	1	0	2	0	1	0	4
	%	25%	0%	50%	0%	25%	0%	100%
Hoa Mac	HH	1	5	11	0	6	0	23
	%	4%	22%	48%	0%	26%	0%	100%
Duong Quy	HH	1	1	5	0	5	0	12
	%	8%	8%	42%	0%	42%	0%	100%
Tham Duong	HH	3	3	3	0	14	0	23
	%	13%	13%	13%	0%	61%	0%	100%
Minh Luong	HH	0	0	3	0	5	0	8
	%	0%	0%	38%	0%	63%	0%	100%
Tan Thuong	HH	0	0	1	0	1	0	2
	%	0%	0%	50%	0%	50%	0%	100%
Son Thuy	HH	0	2	6	0	7	0	15
	%	0%	13%	40%	0%	47%	0%	100%
Nam Xe	HH	6	1	13	0	11	0	31
	%	19%	3%	42%	0%	35%	0%	100%

(SES Survey)

2.5.5 Income and Poverty in the Project Area

62. Being poor or near-poor is based on the Government-set national poverty line of an average monthly per capital income together with consideration of deprivation of access to social services. A poor household in rural areas is one that satisfies either of the two following norms: (i) Having a monthly per capita income of VND 700,000 or lower; or (ii) Having a monthly per capita income of between over VND 700,000 and VND 1.000. 000 and deprived of at least 3 indicators measuring deprivation of access to basic social services. A poor household in urban

areas is one that satisfies either of the two following norms: Having a monthly per capita income of VND 900,000 or lower; or Having a monthly per capita income of between over VND 900,000 and VND 1,300,000 and deprived of at least 3 indicators measuring deprivation of access to basic social services. A near-poor household in rural areas is the one that has a monthly per capita income of between over VND 700,000 and VND 1,000,000 and is deprived of less than 3 indicators measuring deprivation of access to basic social services. A near-poor household in an urban area is the one that has a monthly per capita income of between over VND 900,000 and VND 1,300,000 and is deprived of less than 3 indicators measuring deprivation of access to basic social services. (Decision No 59/2015/QĐ-TTg issued by Prime minister).

63. Based on district records, the average poverty rate in the project areas is 28% (poor and near poor). Communes with significantly higher than average poverty rates area: Tham Duong (63%) , Minh Luong (59%), and Nam Xe (45%).

Table 2-16: Poverty Rates in the Project Areas

District/Commune	Number of HHs	Number of poor HHs	Number of near-poor HHs	% Poor and Near Poor
Van Ban District	8998	1638	922	28%
Khanh Yen Town	1828	155	109	14%
Lang Giang	948	199	213	43%
Khanh Yen Thuong	898	89	71	18%
Hoa Mac	700	62	100	23%
Duong Quy	1276	76	38	9%
Tham Duong	431	191	79	63%
Minh Luong	1072	436	198	59%
Tan Thuong	879	286	53	39%
Son Thuy	732	79	20	14%
Nam Xe	234	65	41	45%

(District records)

64. The SES also obtained information on household incomes reported by the surveyed households. The results presented as per capita incomes and grouped according to Government poverty ranges is presented below. For many of the communes, the results are similar to those of the districts records for the local populations in those areas. Generally, those areas with a small sample size will have greater difference with local records.

Table 2-17: Grouping of Per Capita Household Income Ranges

Commune		Economic conditions of EM households according to poor standard of Government		
		<u>Poor (VND 700,000/person/month)</u>	<u>Near-poor (from VND 700,000 - VND 1,000,000/person/month)</u>	<u>Average or above</u>
Khanh Yen Town	HH	1	0	1
	%	50.0%	0.0%	50.0%
Lang Giang Commune	HH	7	0	12
	%	36.8%	0.0%	63.2%
Khanh Yen Thuong	HH	1	0	3
	%	25.0%	0.0%	75.0%

Commune				
Hoa Mac Commune	HH	0	2	21
	%	0.0%	8.7%	91.3%
Duong Quy Commune	HH	3	0	9
	%	25.0%	0.0%	75.0%
Tham Duong Commune	HH	6	3	14
	%	26.1%	13.0%	60.9%
Minh Luong Commune	HH	2	0	6
	%	25.0%	0.0%	75.0%
Tan Thuong Commune	HH	0	0	2
	%	0.0%	0.0%	100.0%
Son Thuy Commune	HH	2	1	12
	%	13.3%	6.7%	80.0%
Nam Xe Commune	HH	7	7	17
	%	22.6%	22.6%	54.8%
	Total	29	13	97
	%	20.9%	9.4%	69.8%

(SES)

65. The majority of surveyed households (78%) reported that their income was in excess of expenditure, less than one percent that their income was equivalent to expenditure and 22% reported that their expenditure was more than their income.

Table 2-18: Difference between the income and expenditure of the affected households

District/ Commune	Comparison							
	Income < expenditure		Income = expenditure		Income > expenditure		Total	
	HHs	%	HHs	%	HHs	%	HHs	%
Van Ban District	30	22%	0	0%	109	78%	139	100%
Khanh Yen Town	1	50%	0	7%	1	50%	2	100%
Lang Giang	4	21%	0	0%	15	79%	19	100%
Khanh Yen Thuong	0	0%	0	0%	4	100%	4	100%
Hoa Mac	4	17%	0	0%	19	83%	23	100%
Duong Quy	3	25%	0	0%	9	75%	12	100%
Tham Duong	9	39%	0	0%	14	61%	23	100%
Minh Luong	1	13%	0	0%	7	88%	8	100%
Tan Thuong	0	0%	0	0%	2	100%	2	100%
Son Thuy	2	13%	0	0%	13	87%	15	100%
Nam Xe	6	19%	0	0%	25	81%	31	100%

(SES)

66. The northwest region of Vietnam has the highest poverty rate in the country. Key contributing factors are poorly developed infrastructure (particularly infrastructure linking to markets and services), land comparatively not well suited to commercial agriculture, remoteness from commercial and industrial hubs, undeveloped local economies with associated limited non-farm livelihood opportunities. There are other factors that are largely the result of poverty that also limit opportunities for economic improvement such as poor education and limited access to capital.

67. The focus group discussions sought information from local villagers in the project areas about their living conditions, sources of income and causes of poverty.

68. Each of the focus groups stated that there was not enough productive farming land for all in their villages. Flat land for paddy fields is very limited. Son Thuy group said that the paddy land allocation is only 300-600m² per household, but only 70% of families have an allocation. Only Tan Thuong group reported that there was enough availability of paddy field although production was hampered by lack of water. Most of the villages have upland areas for production. The problem for these areas are lack of water and poor soil quality making them mostly only suitable for corn and cassava. Duong Quy Commune, however, employs terracing to grow rice (mainly sticky rice), but without irrigation production levels are low. There are those without any farming land and it is these who tend to be the poorest. As village populations increase, the amount of land to be passed down decreases. Ethnic Tay discussion groups in Duong Quy and Tham Duong said that because land inheritance is patrilineal, women do not receive land from their parents. In the even that a woman marries outside the village and later returns (e.g. divorce or husband passes away), then those households will have no farming land. Women's discussion groups in these communes reported that there were a number of such families in their villages. In Son Thuy an iron ore mining concession in the area led to significant loss of productive upland area. Prior to land acquisition, each family had three hectares of upland area to cultivate. This was subsequently reduced to one hectare. Although only around 70% of families now have any such land. While the families were compensated for the land loss, the discussion group reported that the money was generally not invested and used up over time.

69. Most of the groups reported under-utilization of their upland farming land and commonly encounter problems with livestock production such as disease and fluctuating prices for pigs. Animal husbandry is generally focused on chicken and pigs. While goat raising has been introduced in some of the communes, the groups reported limited follow up extension support from local veterinarians with herds succumbing to foot and mouth. All communes reported having extension training programs. However, the training was overwhelmingly class-based or only a select number of trainees provided training away from the villages. A few of the groups said that innovative models were being introduced (sweet potato in Hoa Mac, Tham Duong said the province had set up a sticky rice model farm in a nearby commune, and hemp in Lang Giang). Generally the groups stated that theoretical training alone was not very effective. The groups in Hoa Mac, Duong Quy, and Lang Giang specifically said that extension training needs to be delivered through local models.

70. The different localities reported different situations with respect to market access. Groups in Son Thuy, Lang Giang, Hoa Mac, and Khan Yen said that market access was convenient with good standard of roads connecting to the markets and they were able to sell their excess products directly to market. On the other hand, those in Duong Quy, Tan Thuong, and Tham Duong said that market access was very difficult due to distance and poor road conditions. The result is that ex-farm prices paid by traders are significantly lower or that transportation costs eat up any profit that would hope to make. Duong Quy said that locally based Kinh traders were monopolizing the local wholesale trade and actively prevent other traders coming in from outside. They said that ex-farm prices for products such as cardamom are squeezed. Another issue raised in relation to market access is that villagers tend not to have motorbike licenses. If they are caught by police on the highway going to the market, the fine outweighs the money they would have made by selling their produce.

71. There are very limited non-farm work opportunities in the local areas. The communes in the studied areas all reported a high rate of both men and women going away from home to work as unskilled labourers. A high proportion said that people commonly went to China to work (Son Thuy, Khanh Yen, Tham Duong, Lang Giang). The groups said that there were no or next no local non-farm work opportunities. In Son Thuy, where a large area of productive land

was lost to a mining concession, local people were not able to get work in the mining company due to low skill levels (and instead they go to China to work). However, Tan Thuong and Tham Duong groups said that there were some nearby work opportunities for youth in a nearby factories. Those who completed upper secondary high school had better chances of securing such work.

72. Credit for local villagers is generally quite accessible with loan programs also being provided to poor households. The discussion groups reported that credit for productive purposes is available to the local villagers from the Vietnam Bank for Agriculture and Rural Development and Social Policy Bank. There is a high uptake of such credit. Interest rates are around 0.65% to 0.9% per month. Loan amounts tend to be up to VND 50 million over 3-5 years.

73. Other reasons for poverty given were large number of children per family, illness, disability, loss of husband in the family and inability to manage money.

74. In terms of ethnicity, discussion groups made mention of Xa Pho, Black Thai and Hmong in their areas as being particularly vulnerable, mainly due to their isolation. In Duong Quy Commune, Xa Pho people live in the most remote village with difficult road conditions. Men in these areas often drink alcohol and gamble and people still maintain old habits of living such as wedding meals lasting for months. In Tan Thuong Commune, the Hmong live in villages located up in the mountainous areas which are remote from the center and often cut off by inundation when it rains. Those villages also do not have electricity. As mentioned above, Tay people have a custom of only giving land to males, thus creating hardship for women who marry outside the village if they later lose their husbands. For the other areas, there were different views as to which ethnic groups are poorer, but in these areas it was more a factor of which villages had less land than other villages. A particular group in one area may be better off than other groups in another area depending on how well endowed their village was with productive land.

75. Impacts of poverty are mainly expressed in terms of lack of food and being forced to sell their crops ahead of harvest time. Food shortages, especially pre-harvest time and in between harvests is common. Many households resort to selling their crops prior to harvest (i.e. they commit to give the crop to someone and receive their payment early). The price difference was reported to be VND 30,000/10kg of rice compared to the harvested price of VND 50,000/10kg, representing a 40% loss of value.

2.6 Gender

76. In the project areas, both men and women are actively engaged in the workforce. The most common livelihood activities were farming with general labour also a common income source.

77. Women in the project areas are very busy, carrying a large part of family work to care of duties within the home as well as earning a living. Some responsibilities fall to a greater extent on women alone, such as cooking and taking care of children and the elderly in the family. In other activities, both husbands and wives mostly share such as farming, forestry work and conducting retail or service businesses as noted in tables above related in occupations.

78. Most of household decision-making was reported by surveyed households to be shared between husbands and wives. However, where one or the other is the main decision maker, it tended to be the husband. Land registration in the name of both spouses is not uniform. There remains a sizable proportion of households in some areas for which land is registered in the name of husbands only.

79. Adult women in the surveyed households had been afforded much less opportunities for formal education than men. Women in surveyed households have significantly lower education attainments than men and are over represented in the proportion of illiterate adults. (Refer to table related to education attainment above.)

Table 2-19: Gender Division of Labour in the Household

Household Activity	Husband/ Wife/ Both	Average
Shopping	Man	4%
	Female	65%
	Both	31%
Cooking	Man	2%
	Female	66%
	Both	31%
Cleaning house	Man	1%
	Female	61%
	Both	37%
Clothes Washing	Man	2%
	Female	70%
	Both	28%
Taking care of children, elder	Man	0%
	Female	42%
	Both	58%
Taking care of children, elder	Man	6%
	Female	35%
	Both	58%
Tutoring children	Man	6%
	Female	39%
	Both	56%
Working to generate income	Man	8%
	Female	10%
	Both	82%
Repairing household items	Man	73%
	Female	6%
	Both	21%
Meeting at residential cluster	Man	34%
	Female	26%
	Both	40%
Making important decisions	Man	24%
	Female	9%
	Both	66%
Participating in community activities	Man	15%
	Female	21%
	Both	64%
Property registration	Man	55%
	Female	15%

Household Activity	Husband/ Wife/ Both	Average
	Both	29%
Attending funerals, weddings	Man	12%
	Female	17%
	Both	72%

(SES)

Chapter 3 - Consultation, Participation and Information Disclosure

3.1 Information dissemination, consultation and participation requirements

80. Meaningful consultation is 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. Consultations commenced during the preparation of EMDP with consultations held before, during and after the implementation of the IOL and SES. Consultations, including individual consultations will continue during project implementation, including implementation of the various social mitigation plans and resettlement plan.

81. This process enables communities and affected persons to be fully informed about the decisions that will affect their way of life and living standards. Importantly, it also provides opportunities for them to participate in the decision making on matters that will directly affect them. This is not only consistent with principles of transparency and fairness, but ensures better outcomes in the design and implementation of mitigation measures.

3.2 Information dissemination and consultation during the preparation of the EMDP

82. Information dissemination and consultations were conducted with affected households identified through the IOL. Main consultations with ethnic minority people during project preparation included consultations with the Committee for Ethnic Minority Affairs (CEMA), focus group discussions in a sample of project communes and public consultations in which information about the project and environmental and land acquisition impacts were presented and discussed.

83. **Meetings with Committee for Ethnic Minority Affairs (CEMA).** Meetings were conducted with CEMA by the national social development consultant at the provincial level on 1 December 2017 and at Van Ban District on 30 November 2017. The purpose of the meeting was to present information about the project, ascertain issues and challenges facing ethnic minority peoples in the project areas and to discuss the intended strategy of the project to mitigate risks with respect to HIV, human trafficking, involuntary resettlement and road safety.

84. **Focus Group Discussions:** Twenty-one focus group discussions (FGD) were undertaken: covering each of 10 communes in the project area in November 2017 and August 2018. Topics covered during the FGDs included living conditions and challenges, perceptions about the project, risks and concerns. (See Tables 3.2 and 3.3 for details of participants.) Key feedback included difficulties in low living standards mainly due to inadequate availability of arable land, unfavourable climatic conditions and limited non-farm work prospects. A number of focus groups pointed to difficulties accessing markets and social services as well as the need for improvement of agricultural techniques. Recommendations included, agricultural extension

and vocational training, employment opportunities during project construction and mitigation of potential disruptions from labour influx. (Refer to Appendix 3 for further details)

85. Public consultation meetings. Ten consultation meetings were held in all the affected communes 25 January to 2 February 2018. The meetings were facilitated by social safeguards and environmental safeguards consultants. Attendance included potentially affected households, representatives of local authorities and mass organizations. The information presented included general information about the project design and anticipated land requirements, types of land acquisition and resettlement impacts as well as approach to mitigation and policy principles. A total of 309 ethnic minority people participated consisting of 172 men and 137 women. Summaries of these consultation meetings along with issues raised are in presented below. Appendix 3 presents the detailed consultation notes.

Table 3-1: List of Consultation Meetings Conducted with Affected Communities

Commune	Date	Participants	No. Ethnic Minority Attendees		
			Total	Male	Female
Lao Cai Province					
1. Minh Luong	Feb 2, 2018	Potentially affected households; Representatives of local authorities: Commune Chairman, Party Secretary, Cadastral – Construction Officer. Project consultants.	24	15	9
2. Tham Duong	Feb 2, 2018	Potentially affected households; Representative of local authorities: Commune Chairman, Cadastral – Construction Officer. Project consultants.	39	19	20
3. Duong Quy	Feb 1, 2018	Potentially affected households; Representatives of local authorities: Commune Chairman, Commune Party Secretary. Project consultants.	57	40	17
4. Hoa Mac	Feb 1, 2018	Potentially affected households; - Representative of local authorities: Commune Chairman, Commune Vice Chairman, Head of Police. Project consultants.	41	23	18
5. Son Thuy	Jan. 29, 2018	Potentially affected households; Representatives of local authorities: Vice Chairman of the People's Committee, cadastral officer Project consultants.	25	9	16
6. Lang Giang	Jan. 31, 2018	Potentially affected households; Representatives of local authorities: Vice Chairman of the People's Committee, cadastral officer Project consultants.	31	17	14
7. Khanh Yen Town	Jan 30, 2018	Potentially affected households; Representatives of the local government: the chairman of the town, the vice chairman of the town council, the secretary of the town party committee, the chief of the town,	16	10	6

Commune	Date	Participants	No. Ethnic Minority Attendees		
		the president of the Fatherland Front. Project consultants.			
8. Khanh Yen Thuong	Jan 30, 2018	Potentially affected households; Representatives of local authorities: Chairman of the Commune People's Committee, Vice Chairman of the Commune People's Committee. Project consultants.	11	6	5
9. Tan Thuong	Jan. 29, 2018	Potentially affected households; - Representatives of local authorities: Chairman of the Commune People's Committee, Secretary of the Party Committee, Cadastral Officer. Project consultants.	6	5	1
10. Nam Xe	January 25, 2018	Potentially affected households; - Representative of local government: Chairman of Commune People's Committee, Secretary of Party Committee, Commune Cadastre. Project consultants.	59	28	31

86. Issues raised by attendees at the public consultation meetings included resettlement related matters, such as adequate compensation, livelihood restoration, and transparency in resettlement planning. There were also some environment and design related comments. The issues raised along with responses and how these issues are addressed by the project is summarized below.

Table VI. 1: Summary of feedback from public consultation meetings

Issue Raised	Responses/ How the Issue is Addressed in the Project
Resettlement Related	
project implementation should minimize impacts, including impacts on cemetery and cultural houses. (General comment)	The mitigation of the project impacts during the implementation will be carried out through design, construction plan arrangement and monitoring.
there should be a clearance agreement before construction. (General comment)	According to the regulations of the Government and ADB, the civil works can only be commenced when site clearance is completed.
compensation should be adequate and be public and transparent. (General comment)	Compensation will be implemented as per the principles stated in the policy framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records, rate application minutes will be disclosed publicly at the offices of the CPCs and village cultural houses. Compensation will be delivered directly to the affected households with the monitoring of the People's

Issue Raised	Responses/ How the Issue is Addressed in the Project
	Committees at different levels. Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.
necessary to pay proper consideration to resettlement sites if these are required. (Son Thuy Commune)	Assessing the scope of impacts, the development of a resettlement site is not necessary. However, depending on the project impacts at the DMS time, if the resettlement site development is required, those affected by land acquisition for the development of the site will be compensated per the principles of the project policy framework. Site levelling and construction of the resettlement site will be carried out by the District People's Committees.
A quarter of the population are living on road 279 so a resettlement area may be needed. (Tan Thuong Commune)	
The project should support ground leveling for Pom Khao Area, to host 30 households if relocation is required. (Nam Xe Commune)	
Some households want to keep the existing road alignment so as not to affect the agricultural land area (rice land). (Minh Luong Commune)	There are many opinions of construction of bypass road and others want the project to upgrade and rehabilitate on the existing road. At present, the bypass route is being proposed. The project preparation team will base on the scope of impacts of both options on people's lives to consider the alternative. In case bypass road alternative is selected, livelihood restoration measures for the households losing agricultural land will be designed within the livelihood restoration program of the project to ensure that their living standards will be improved or at least restored to the pre-project level.
Wish to have more details on the project design. (General comment)	The disclosure of detailed design of the project will be carried out during the detailed design preparation process. The design consultants will organize public consultation about the design or disclose the design to the local communities and authorities at different levels during the designing process.
Design Related	
- The commune wants to build a bypass road to ensure traffic safety, avoid noise, and minimize environmental sanitation. However, the bypass road will go into the graveyard, the communal culture house and 10 households in Hamlet 3. (Minh Luong	In case bypass road alternative is selected, the design will be considered to avoid impacts on graves and cultural houses. If impacts are unavoidable, or the households whose graves are too close to the road and do not want to leave their graves there, they

Issue Raised	Responses/ How the Issue is Addressed in the Project
Commune)	will be compensated for displacement and reburial of the graves. In addition, they will be entitled to receive cash allowance for grave displacement rituals according to the traditions of their group. If cultural houses are affected, they will be restored by the project.
- People and local authorities suggested to build a town bypass to avoid hospitals, schools, high volume of cars running through the town, about 400 cars a day. The bypass should go southward to reduce impacts on the people. (Khanh Yen Commune)	The selection of bypass road will be considered based on different factors/criteria. In addition to the criteria mentioned above, the environmental and social impacts of the bypass road will be carefully considered.
Environment Issues	
Environmental impacts need to be carefully assessed, mitigation measures put in place; and environment plans be implemented carefully. (General comment)	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
Drainage needs to be incorporated in the project design to avoid flooding of houses and surrounding areas. In some locations the road is much higher than houses (Son Thuy Commune)	
Construction camps should not be located near graveyards/cemeteries. (General comment)	
Road Safety	
Concerns voiced over the traffic safety during the operation of the project: traffic accidents, traffic density. (Nam Xe Commune)	The project will implement a community-based road safety awareness program. The technical design of the project will incorporate measures to improve safety.
Issues Raised and Recommendations from Focus Group Discussions	
Priority attention should be given to employ local people for project construction work (Son Thuy, Khanh Yen, Tan Thuong, Duong Quy, Tham Duong, Lang Giang)	The project will actively promote the recruitment of local labour during construction.
Concerns that labour influx during construction will cause disruptions to social order, anti-social behaviour and theft. Construction workers need to be well managed. There should be coordination between the contractors and local community leaders and police. (Hoa Mac, Duong Quy)	There are requirements for the Environment Management Plan to include contractors to manage and monitor of workers and liaise with community leaders.
Outside workers during construction phase should be sensitive to local customs such as not going near altars and removing shoes before entering houses (Duong Quy)	The comment is noted for inclusion in the Environment Management Plan during the implementation phase of the project.

Issue Raised	Responses/ How the Issue is Addressed in the Project
<p>Village 5 lost a lot of land, village 2 has about 10 graves near the road. Graves moving requires many complicated procedures, each grave moving must have a separate ceremony. Grave moving is also expensive, it takes 2 days in which a day to prepare items from the day before. To move a grave, it costs more than 10 million VND, and much work. (Hoa Mac)</p> <p>When construction affects the graves, construction unit needs to have appropriate solutions, avoid conflicts with local people (such as paying money to move graves, do procedures like worshiping before relocation of graves, etc.) (Duong Quy)</p>	<p>Provisions for support for ceremonies and customs required under cultural practices is included in the resettlement plan.</p>
<p>Recommend that the project support agricultural extension training and model development:</p> <ul style="list-style-type: none"> - Training on plantation and care of fruit trees; or to invite experts to access the soil in this area, then advise on appropriate plants to cultivate. <p>Women would like to hear the training on livestock. They want to raise chickens and ducks, also want to grow fruit trees, but do not know what kind of plants. Previously, there was a project to support the planting of orange, but after that, no one bought, so people did not plant orange trees. (Son Thuy)</p> <ul style="list-style-type: none"> - Set up cooperatives, breeding models, production models; guide people how to grow plants and breed animals, how to prevent and cure diseases of plants and animals. <p>They would like to establish mushroom growing models, there must be experts in organizing training courses, teaching them how to raise livestock, and to produce the products, ensuring the outputs of the products. (Khanh Yen)</p> <ul style="list-style-type: none"> - The project should develop models for contract farming for farmers. <p>Technical training courses should be also available, but training courses should be offered in the form of on-farm training and farmer field school so that farmers can observe and practice better. (Hoa Mac)</p> <ul style="list-style-type: none"> - People should be educated and trained in planting techniques and crop varieties to get out of poverty, such as the persimmon trees that some households have planted; or training courses on livestock. <p>Organizing a training course on cinnamon</p>	<p>The project will include a livelihood development program expected to include farming extension through model development and training. While the program will prioritize those affected by land acquisition, the local models will be accessible to those in the local community. The training to be provided will be detailed during the updating of the EMDP and will include a phase of needs analysis and consultations with local communities.</p>

Issue Raised	Responses/ How the Issue is Addressed in the Project
<p>growing and fruit tree planting for the local people. (Tan Thuong)</p> <p>- The project should develop economic development models for the choice of local people which is suitable to their local environment and climate. Villagers can make changes or adjustments to the development of the models.</p> <p>The project should have training courses on cultivation and livestock so that farmers can develop their economy. The training classes provide farmer field schools and give farmers direct instructions in fields. Moreover, after these training courses, the support of extension officers is necessary to provide further guidance to individual households. (Lang Giang)</p>	
<p>Request the project organize vocational training, especially for women. (Son Thuy, Khanh Yen, Hoa Mac, Tan Thuong, Tham Duong, Lang Giang)</p>	<p>There will be a livelihood development component in the resettlement plan for people affected by land acquisition. Identification of activities, including vocational training will be determined early in the implementation phase of the project in consultation with local communities.</p>
<p>HIV infection is a real worry in the community. The project should provide HIV awareness training to the local communities. (Hoa Mac, Tan Thuong, Duong Quy, Lang Giang)</p>	<p>The project will include a HIV and Human Trafficking Awareness and Prevention Program that will target communities in the project areas.</p>
<p>Advocacy for young women about human trafficking is needed. (Tan Thuong, Duong Quy)</p>	
<p>Local people are concerned about road safety after the project is completed. (Son Thuy, Hoa Mac)</p>	<p>The project includes a community based road safety campaign for communities in the project areas.</p>

3.3 Information Disclosure

87. The Ethnic Minority Development Plan and Resettlement Plan (draft and updated versions) are required to be publically disclosed and pertinent information disclosed to affected people in a timely manner and in an accessible and understandable form.

3.3.1 Disclosure of the EMDP

88. Salient features of the project, project impacts related to environment and land acquisition, mitigation measures and GRM were disclosed to affected households and relevant local Government agencies through public consultation meetings presented above. A public information brochure (PIB) setting out key information related to land acquisition was

disseminated to potentially affected people at the time of the consultations. The project's strategy to address impacts and risks related to HIV, human trafficking and road safety were presented to local authorities, CEMA and Women's Union in the project areas.

89. The agreed EMDP will be disclosed in the project areas as well as publically disclosed on the ADB website. A translated summary version of the EMDP will be disseminated to the project communes. An updated PIB setting out various project activities, mitigation strategies, including those set out in the EMDP and an updated project schedule will also be publically posted in each commune following approval of the EMDP and the draft resettlement plan.

3.4 Resettlement Plan Consultation, Communication and Disclosure Plan

3.4.1 Special considerations for communication and consultation

90. Various means of communication can be applied depending of the communication objectives as well as constraints in time or resources.

91. Communication needs to recognize the language needs of different audiences. There are 15 ethnic minority groups residing in the provinces of the project areas making up a significant proportion of the local populations. While Vietnamese is commonly spoken in addition to their own ethnic languages, levels of understanding, ability to converse as well as read Vietnamese vary considerably. Literacy in local ethnic languages is not common. Community meetings should take consideration of this, using appropriate vocabulary and local languages. Public information, education and communication printed material, should incorporate posters and brochures which drawings and diagrams. Additional resources will be provided for local interpreters of local ethnic languages. The project will allocate resources to engage local interpreters from the community for each main ethnic group on an intermittent basis for the duration of the project.

92. Ethnic minority villages often have informal institutions and mass organizations that should be incorporated in the consultation process where these are present. Such traditional leaders and mass organizations will need to be provided training from early during project implementation to provide assistance in consultation and information dissemination activities.

- Village patriarchs are prestigious people, usually over 60 and are men. Village patriarchs often know traditions and customs better than others and often support village chiefs in village management. Today, the role of the village patriarch is fading. They are often involved in the reconciliation of small frictions between families, individuals in the community;
- Head of the family lineage. The lineage heads have a special role in the Mong community. Mong people do not have village elders/patriarchs, but the lineage heads are leaders in the Mong community in all aspects. Even in many places, the lineage head has a greater voice than the local authorities;
- Mass organizations. There is a high participation of ethnic minority households in the project areas in mass organizations such as Women's Union, Farmers Union and Youth Union. Associations participate in advocating their members to participate in activities initiated or launched by the government, including land acquisition/site clearance or implementation of different projects. The Women's Union and the Fatherland Front are also members of the Compensation Board at different levels and they are also members of the Grievance Redress Board. In the communes participating in the project, Women's Unions often mobilize members to support families of other members if their families have to relocate.

The members of the village women's groups will help the household with their cooking, caring for children and even support the harvesting of crops during relocation.

93. CEMA will need to participate in key consultation activities.

94. Gender participation needs to be promoted across all project communications. Invitation notices to such meetings should indicate the names of both spouses. Attention should be given to the need for separate women's meetings on critical issues, such as resettlement and livelihood restoration. The level of women's participation in meetings should be monitored and consideration given to conducting dedicated meetings for women if participation levels are low.

3.4.2 Roles and responsibilities of communication and consultation

95. The requirements for consultation and disclosure along with roles and timing are presented in the table below.

Table 3-2: Roles and Responsibilities for Consultation and Participation

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
EMDP Specific					
Disclosure of agreed EMDP	Communities in project areas; Stakeholders (including mass organizations and traditional leaders).	Translated versions dissemination of EMDP to all DPCs/ CEMA/ CPCs/village chiefs/ Fatherland Front/ Women's Union in project areas and agencies involved in EMDP implementation. Public posting of updated PIB in CPC notice boards and dissemination to village chiefs and neighbourhood group leaders.	EMDP dissemination: PMU 2/ DPCs PIB dissemination: DPCs/ CPCs	Following formal approval and concurrence from Government and ADB	Counterpart contribution; Project supervision consultant time;
	General public	Public disclosure on ADB's website Uploading on MOT website	ADB MOT		NA
Disclosure of periodic External EMDP Monitoring Reports	Public, local authorities, CEMA, mass organizations	Uploaded on ADB website. Translated versions of external monitoring reports.	ADB PMU, DPCs	Upon submission of periodic monitoring reports (semi-annual)	NA
Disclosure of periodic Internal Monitoring Reports	Public	Uploaded on ADB website.	ADB	Upon submission of periodic monitoring reports by PMU 2 (semi-annual)	NA
Construction and Environment Related					
Consultation on rural access infrastructure (rural roads/ bridges	PPC, DOT, DPC, communities in the	Meetings with agencies Consultation meetings with	PMU, PSC, DD Consultant	During detailed design	Project supervision consultant time

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
connecting villages to project road).	area concerned.	communities.			
Presentation of planned activities and schedule; anticipated impacts and mitigation measures (including restricted access, disruptions, hazards, road safety); GRM	Potentially affected households, communities in vicinity of works, Commune PC representatives	Public meetings & site visits. Household discussions with any that are directly affected.	Contractors	Prior to start of construction works; quarterly thereafter	Works contracts
Presentation of planned activities and schedule; anticipated impacts and mitigation measures; GRM	Potentially affected households, communities in vicinity of works, Commune PC representatives	Public meetings & site visits and informal interviews	PMU2, PSC traditional leaders and mass organizations	Once before construction commences (public meetings) and semi-annually thereafter during construction (site visits and informal interviews)	Project supervision consultant time
Comments and suggestions on mitigation measures, public opinion	Experts of various sectors, county/ district EPBs	Expert workshop, CEMA	PMU2, PSC	As needed, based on public consultation	Project supervision consultant time
Public satisfaction with EMP implementation	Potentially affected households, ward PC representatives	Public opinion survey, CEMA	PSC, traditional leaders and mass organizations	Once at mid-term review stage	Project supervision consultant time
Effectiveness of mitigation measures, impacts of operation, comments and suggestions	Potentially affected households, ward PC representatives	Public consultation and site visits, CEMA	PMU2, PSC	Once in the first year of operation	Project supervision consultant time
Public satisfaction with EMP implementation Comments and suggestions	Potentially affected households, ward PC representatives	Public satisfaction survey, CEMA	PSC, PMU2	Once at project completion report stage	Project supervision consultant time
Resettlement Related					
Disclosure of agreed RP	Affected households, communities in project areas; Stakeholders.	Dissemination of RP to all DPCs/ CPCs in project areas and agencies involved in RP implementation. Public posting of	PMU 2/ DONRE/ DPCs DPCs/ CPCs	Following formal approval and concurrence from Government and ADB	Project supervision consultant time Resettlement Plan

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
		updated PIB in CPC notice boards			
	General public	Public disclosure on ADB's website Uploading on MOT website	ADB MOT		NA
Resettlement	Relocating AHs, CEMA	Group and individual discussions with relocating AHs on options details and assistance entitlements.	CLDF, CPC, traditional leaders and mass organizations	Following DMS	Resettlement Plan
Livelihood development	AHs eligible for LDP, CEMA	Group discussions on LDP strategy, including proposed options. Needs and preference assessment. (Feedback informs final design of LDP.)	LDPSC, LDPMB, DPC, traditional leaders and mass organizations	Following DMS	Resettlement Plan
Entitlements, eligibility and compensation rates	Affected households	Public consultation meetings. Distribution of the PIB to APs	CLDFs, CPC with support from PMU 2, CEMA, traditional leaders and mass organizations	Following DMS and replacement cost study	Resettlement Plan
Disclosure of draft updated RP and entitlements	Affected households	Posting the compensation and support plan in commune and village public areas. This plan covers all project entitlements for APs as well details of GRM. AP feedback on compensation plans to	CLDF		Resettlement Plan

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
		be collected and recorded at least 20 days following disclosure			
Disclosure of agreed updated RP	Affected households; Communities in project areas.	Translated resettlement plan publically accessible in local People's Committee Office, uploaded on ADB website and MOT website.	-PMU 2, CLDF with support of PSC. -PIB disseminated by CPCs. -ADB for uploading	Upon final approval of updated RP	Resettlement Plan
Implementation schedule of resettlement plan and civil works	Affected households	Public consultation meetings	CLDF, PMU 2, CPCs	Ongoing prior to implementation and upon significant change in implementation schedule.	Resettlement Plan
Compensation disbursement schedule	Affected households	Notices to individual households	CLDF and local PCs	Minimum 1 week prior to disbursement	Resettlement Plan
Relocation arrangements	Households required to relocate	Group discussions and individual consultations as needed.	CLDF,	Commencing upon final approval of updated RP until resettlement satisfactorily completed.	Resettlement Plan
Disclosure of periodic External Resettlement Monitoring Reports	Public, local authorities, mass organizations, CEMA	Uploaded on ADB website. Translated versions made available at District PC offices for public access upon request.	ADB PMU, DPCs	Upon submission of periodic monitoring reports (semi-annual)	NA
Disclosure of periodic Internal Monitoring Reports	Public, CEMA	Uploaded on ADB website.	ADB	Upon submission of periodic monitoring reports by PMU 2 (semi-annual)	NA
Other Social Issues					

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
HIV and human trafficking mitigation	Communities in the project areas. Construction workers	Public consultation and small group meetings	Provincial AIDS Centre, Women's Union, Youth Union, HTAP Service Provider	Ongoing during construction	HIV and Human Trafficking Awareness and Prevention Program
Road safety awareness	Communities in the project areas	Public consultation meetings, class room	Women's Union, Youth Union, Teachers, Road Safety Service Provider	During construction phase and at commencement of operation phase.	Road Safety Awareness program
Opportunities for project work	Adults in the project area	Public notices	Contractor	Ongoing during construction phase	Works contracts

Note: CEMA: Committee for Ethnic Minority Affairs; CPC = Commune People's Committee; CLDF = Centre for Land Development Fund; DOLISA = Department of Labour, Invalids, and Social Affairs; DPC = District People's Committee; EIA = Environment Impact Assessment; EMP = Environment Management Plan; HTAP = HIV & Human Trafficking Prevention Programs; IEC = Information, Education & Communication, LDPSC = Livelihood development Program Steering Committee; LDPMB = Livelihood development Strategy Management Board (District Level); PIB = public information booklet; PMU 2 = Project Management Number 2; PPC = Provincial People's Committee; PSC= Project Supervision Consultant; WU=Women's Union.

Chapter 4 - Benefits, Impacts and Mitigation

96. This section presents the negative impacts and risks that the project poses to the people within the vicinity of the project area. Negative impacts are events or changes that are expected to take place with a high degree of certainty while risks are events or changes that may take place and have significant implications for the wellbeing of people in the project area. Project positive impacts (benefits) and opportunities are also presented.

4.1 Impacts and Risks

4.1.1 Land Acquisition and Resettlement

97. The project is expected to affect an estimated 179 ethnic minority households comprised of 823 people. The most common impact is loss of residential land (123 households) followed by impacts on houses (49 households), loss of productive land (66 households) and impacts on businesses (29 households). Five of the 49 ethnic minority households with affected houses are expected to require relocation. The resettlement plan anticipates that 8 ethnic minority households will have severe permanent impacts on their livelihoods.

98. A total of 2.1ha of residential land belong to 123 ethnic minority households will be acquired. A total of 66 ethnic minority households will lose some form of productive land. An estimated 2.6ha of productive land will be acquired. Productive land comprises paddy, annual cropping, perennial, other agricultural land, and forestry land. The largest losses are in Duong Quy and Minh Luong Communes. The category of productive land with the greatest loss is productive forest land.

99. Of the 123 ethnic minority households losing residential land, 2 plots are fully affected. Of the 66 ethnic minority households losing productive land, 8 will experience severe loss of 10% or more of total productive land holdings.

100. There will be 15 fully affected houses belonging to ethnic minority households and 34 partially affected. Of the fully affected houses, ten will be able to be rebuilt on remaining unaffected land and five will require relocation.

101. There are 29 ethnic minority households with affected small businesses. The impacts are expected to be temporary in nature. As all impacts on associated houses are partial with no relocation required, those with businesses associated with affected houses are anticipated to be able to recommence their businesses once their houses are repaired and business space rearranged. Impacts on roadside vendors are likewise expected to be temporary. During updating of the resettlement plan, detailed consideration will need to be given to reorganizing sites for their continued trading while roadworks are ongoing.

102. A draft Resettlement Plan (RP) has been prepared to address the impacts of physical and economic displacement. The RPs have been designed to be in compliance with the ADB Safeguards Policy Statement and prepared in consultation with affected households and relevant government authorities. The RP includes specific measures for ethnic minority peoples, including ethnic minority specific indicators and additional entitlements. The reader is referred to the RP for further information.

4.1.2 Road Safety

103. In Vietnam, there are about 20-30 deaths per day caused by traffic accidents, mainly road traffic accidents. In 2016, nationally, there were 21,094 cases, including 8,417 fatalities and 19,035 injuries. The rate of road traffic accidents/ 100,000 peoples in the whole country was 23.3 and the rate of deaths/100,000 people in the whole country is 9.4. While there has been a decreasing trend in road fatalities, the high rates of injury and death is concerning. According to the analysis of the causes of traffic accidents, road traffic accidents were mainly caused by violation of traffic safety and order leading to traffic accidents such as: going wrong way, not following traffic lights, speeding, changing direction incorrectly. Alcohol use also accounted for a significant proportion.

104. In the project provinces, Lao Cai has the second highest number of incidents. From 2015 to end of June/2017, on NH 279, there were 9 traffic accidents causing 7 deaths and 8 injuries. The rate of the deaths per accident was 0.78 and the rate of injury per accident was 0.88. Analysing traffic accidents, 30% of accidents were caused by driving in the wrong lane, 40% caused by overtaking unsafely, 10% caused by changing direction without careful observation and 10% caused by pedestrians' mistakes.

105. The project is designed to be constructed to higher standards allowing for vehicle speeds of up to 80km/hr for mixed traffic and it is expected that there will be a very significant increase in traffic flow. There are associated risks of traffic accidents and risks to local road users, especially pedestrians and non-motorized transport users, in the local communities along the roads. There will be two phases of risks posed by the project with respect to local road users:

- Risks posed during construction. These include hazards to vehicle users and pedestrians due to changing road conditions, excavation, presence of heavy vehicles and machinery on the roads, workers on the roads, etc.
- Risks during operation of the upgraded road. The project is designed to be constructed to higher standards allowing for vehicle speeds of up to 80km/hr for mixed traffic and it is expected that there will be a very significant increase in traffic flow. There are associated risks of traffic accidents and risks to local road users, especially pedestrians and non-motorized transport users, in the local communities along the roads.

106. The project has prepared various measures to address road safety risks. Risks during the construction phase will be addressed through a community road safety awareness campaign along with actions by the contractor for a road traffic management plan, signage and hazard warnings and other safety measures that are required for the Environment Management Plan. Risks during road operation will be addressed through a community-based road safety awareness program along with built safety features. Road design safety features, include signage and traffic calming measures to slow down traffic in local communities, especially in front of community facilities such as schools, markets, religious buildings, etc.

107. The road safety awareness program will target both vehicle users, non-motorized transport users and pedestrians in the local communities in the vicinity of the project roads. It will be implemented from prior to commencement of the road works up to the period when civil works are completed.

108. The awareness raising activities will be delivered through a variety of means including small-group community meetings delivered by community-based road safety facilitators with support from resource persons (e.g. police, contractors), in-class teaching (for school children) and Information, Education and Communication (IEC) material such as banners, posters, and pamphlets.

109. Agencies with roles and responsibilities in implementing the community based road safety awareness program include the following:

- Provincial People's Committees: coordinate the program;
- Department of Transport / Traffic Safety Committee: Coordinate in managing and organizing the activities of traffic safety propaganda;
- Department of Traffic Safety: Coordinate the organization of activities of Traffic Safety Propaganda;
- Department of Education and Training: Coordinate management activities awareness, safety awareness in schools.
- School teachers: Provide road safety awareness training to children as part of the classroom teaching.
- Women's Union and Youth Union: Provide members to serve as community based road safety facilitators.
- Local police: Serve as resource persons in community based training, in addition to their enforcement role;
- Project Supervision Consultant: In collaboration with the Traffic Safety Committee, develop training and IEC materials and provide training to community facilitators. Provide guidance on modes of communication to ensure that language use, community mobilization methods and style of IEC materials are conducive to ensure full participation of ethnic minority people.
- Contractors: coordinate with the local community road safety awareness programs, providing information on changing road conditions and risks and serving as resource persons for community training activities.

110. The program will be implemented from prior to commencement of road works up to the time of completion of the upgraded road. It is estimated that the program will provide training to around 12,300 people in the project vicinity, of whom around 8,900 would be ethnic minority people.

4.1.3 HIV/AIDS & Human Trafficking

111. The construction phase of the project presents increased risks of HIV/AIDS infection to the local communities, construction workers and mobile populations. There will be a number of concentrated locations for construction workers (including construction camps) during the construction of the project. The vast majority are expected to be unaccompanied men away from their families and communities for extended periods. There is also expected to be an associated increase in the presence of sex workers and other mobile populations during this phase. There are several project impacts that would adversely impact on or present significant risks to livelihoods and household living standards as well as social dislocation – especially land acquisition and resettlement and changed traffic flow. If such impacts are not mitigated women and children can face significantly increased risks of human trafficking and exploitation.

112. The current situation of HIV infection in Lao Cai province is: The total number of HIV infected people detected in the province is 2,880 people, and another 2,110 have developed AIDS. Over 63% of HIV infected people in the group of drug users. The risk of HIV infection is concentrated mainly through blood (65%) and sexual transmission (24.8%). The northern and northwestern border areas are also the key areas for drug dealing, narcotics, heroin and addictive drugs. It is also home to high numbers of drug users. In some remote and mountainous areas, there are drug retailers; smoking habit, opium cultivation of some ethnic minority households has not been resolved thoroughly and the trend of rejuvenation of drug

addicts, etc. makes the situation in the border area complex. The project area district of Van Ban has the highest number of new infection cases and Bao Yen District ranks 5 out of 9 districts with new infection cases.

113. Trafficking of women from Viet Nam is linked primarily to prostitution and forced labour. According to the Vietnamese Ministry of Public Security, trafficking of women and children has become increasingly complicated and more difficult to control. In the recent years, especially following Vietnam's transfer to market economy, the situation of human trafficking has become a serious and an increasing national trend. In Vietnam, the crime of human trafficking occurs in all 63 provinces/cities and is concentrated in border areas of China, Laos and Cambodia. In the period 2011 - 2015, authorities investigated and discovered over 2,200 human trafficking cases, arrested more than 3,300 offenders and rescued and received nearly 4,500 victims of trafficking. In 2016 alone, there were 383 detected human trafficking cases, involving 523 criminals, and 1,128 victims. Vietnamese men and women often migrate through labour recruitment companies in the construction, fishing, agriculture, mining, logging, and manufacturing sectors. Some of these workers subsequently face conditions of forced labour. Vietnamese women and children subjected to sex trafficking throughout Asia are often misled by fraudulent labour opportunities and sold to brothels on the borders of Cambodia, China, and Laos, with some eventually sent to third countries.

114. A HIV and Human Trafficking Awareness and Prevention Program (HTAP) has been prepared for the project to ensure that the awareness and resilience of local communities is strengthened. At the community level, the program will be delivered through local stakeholders with mandates for HIV and human trafficking prevention. A service provider will be engaged by the project to provide support to the local stakeholder agencies and to provide training directly to construction workers. Implementation arrangements will also focus on partnership with local agencies and community based organizations, including Department of Health, Provincial AIDS Centres, Women's Union and Youth Union. A Summary of the HIV and Human Trafficking Awareness and Prevention Program is attached as Appendix 1 of the EMDP. The reader is referred to the HTAP report for further details.

4.1.4 Disruptions to Local Communities during Construction

115. With the construction taking place with associated presence of construction workers in the project areas, there is the potential for disruptions to communities and friction. The communities in traversed by the project road are by no means isolated and there is a fair amount of heterogeneity in terms of ethnic composition. However, disruptions to normal community life need to be avoided and minimized.

116. The address these the following requirements will be incorporated in to the civil works contracts:

- To the extent possible, the contractor will hire local staff. For some jobs requiring re-training, the contractor will select among the employees hired locally to train them for new skills so they can do the job well;
- The contractor will ensure that all workers are properly registered with local authorities.
- The contractor will brief all employees on the code of conduct and implement a strict and zero-tolerance policy to regulate gambling, prostitution, theft, wildlife poaching and forest product collection.
- The contractor will arrange regular liaison meetings with local communes to which community representatives are invited. These meetings will present information on the project, including construction items, environmental and social issues related to the project, introduce construction personnel from other places to the community. The

meetings will also provide feedback from the community on issues of concern related to construction, including environmental and behaviour of the workers.

- The contractor will, in collaboration with local leaders, organize regular exchanges between workers and local people.

117. Any issues of concern about the conduct of the workers not addressed through the above actions, may be submitted to the project grievance redress mechanism for resolution.

4.1.5 Risk of Poor Communication/Information Dissemination

118. The ADB Safeguard Policy Statement requires the provision of meaningful consultation and information dissemination to those affected by the project throughout the project planning and implementation cycle. People affected by the project include authorities, institutions and those in the project area and especially those who may be adversely affected by the project. To be effective and meaningful, communication needs to be inclusive (women as well as men, old as well as young, the poor and other vulnerable groups), timely and use methods which enable effective dissemination and two-way communication. Poor communication/information dissemination can exacerbate the vulnerability of those already marginalized and constrain their ability to mitigate negative impacts.

119. Communication needs to recognize the language needs of different audiences. There are various ethnic minority groups residing in the project areas making up a significant proportion of the local populations. While Vietnamese is commonly spoken in addition to their own ethnic languages, levels of understanding, ability to converse as well as read Vietnamese vary considerably. Literacy in local ethnic languages is not common. Community meetings should take consideration of this, using appropriate vocabulary and local languages. Public information, education and communication printed material, should incorporate posters and brochures which drawings and diagrams.

120. A Communication, Participation and Consultation Plan has been prepared as part of the project design. A copy of the Communication, Participation and Consultation Plan is attached as Appendix 4.

121. Additional resources will be required for local interpreters of local ethnic languages. The project will allocate costs to engage local interpreters from the community for each main ethnic group for an average of 1 week per month for the duration of the project. Local interpreters are expected to be sourced from local mass organizations such as Women's Union or Youth Union. The local interpreters will be managed by the PMU. The daily rates will be based on government rates for meal and travel allowances for cadre. The cost estimate for 6 local interpreters for one week per month for 48 months is VND 700 million (approx. USD31,320).

4.2 Beneficial Measures

4.2.1 Economic Improvement

122. The project aims to enhance the access to the GMS corridors in the northwestern region through upgrading national and provincial highways where the economic and social development conditions, the transport network, the topography and the climate change effects are the most difficult in comparison with other regions in the country. These improvements will contribute indirectly to economic improvements through time savings and lower transport costs. Such benefits will be diffuse but long-term gains for people in the project areas.

4.2.2 Improved Access and Mobility

123. Consultations with local communities during the preparation of the project revealed that village access to major roads was a key issue of concern and constraint to local communities in accessing markets and social services.

124. The project will include the construction of a village access roads to improve access to the project road. Communes in the project area generally have good access to the highways. However, some outlying villages do have access constraints. Fifteen km of road upgrades from dirt road to double bitumen standard treatment have been included in the project. The locations of the village roads will be determined during detailed design. The 15km of access road will cost an estimated VND 6,000 million (approx. USD 263,910).

4.2.3 Opportunities for Improved Livelihoods

125. The resettlement plan includes a livelihood development program (LDP) as part of its income restoration strategy. The LDP will focus mainly on diversifying farming practices and improving farming skills through a combination of model establishment, training and on-going mentoring by extension services. The program will build on and strengthen existing extension programs operating in the districts in the project areas.

126. The approach of the LDP strategy is to utilize and build on existing capacities and programs as well as AP resources. The LDP will complement existing services with supplementary support along with capacity and institutional strengthening to focus efforts on meeting the project objectives. The main elements of the livelihood development strategy are:

- **Consultation, information dissemination and needs assessment.** Affected persons (APs) will be provided detailed information on the LDP from early in the preparatory stages of the detailed LDP and will be consulted on preferences and LDP design. Information dissemination will include counselling on effective use of compensation and assistance money, the requirement for AH contribution, ongoing programs as well as benefits, challenges and risks of various livelihood options. A detailed needs assessment of eligible APs will inform the design of the detailed LDP.
- **The LDP will consist of training, model development, ongoing mentoring and monitoring combined with AP contributions.** Where appropriate, support will be provided to enable APs to organize and collaborate. Priority will be for training to be provided in local communities and be suited to local conditions and likelihood of success. APs will also be able to avail of vocational training in existing training centres in lieu of locally based training if they prefer this. Training in non-agricultural vocational skills should be based on a realistic understanding of where and how to make a living from the skill. Training in rural livelihoods will incorporate use of models – either existing in the local area or newly developed. The LDP will provide support to models to promote their effectiveness and sustainability. Model owners will be incorporated in the training and mentoring regime of the LDP to promote sustainability of training outcomes. Training will include modules on financial management.
- **Livelihood development activities will be delivered through DOLISA and DARD.** These organizations have existing ongoing programs in the project areas as well as an ongoing presence. Both are experienced in providing outreach training programs and establishment of models. DARD has permanent extension services which extend to the commune level. DOLISA and DARD will take the lead in establishing an effective LDP management and coordination structure at the provincial and district levels. It is expected that DOLISA will be the lead agency.

- The LDP will **incorporate capacity building** and arrangements **for ongoing support** such as mentoring and monitoring for locally-based training programs, such as from model owners and local extension cadre.

127. The specific benefits to indigenous peoples are two-fold. First, indigenous peoples who are affected households will benefit from eligibility for provision of additional training and farming input support. Second, establishment of models and providing training in a given locality has secondary benefits to those who are not affected households because the model farms add to the local extension service and can be accessed by others in the commune as well as nearby communes. The LDP in the RP plans on an average of one model per commune in the project areas. The reader is referred to the RP for further details.

4.2.4 Improved Community Resilience Against Risks of HIV, Human Trafficking and Road Accidents

128. The project poses increased risks of HIV transmission, human trafficking and road accidents. However, the mitigation measures not only increase awareness and knowledge of means of prevention, but also build capacities within the local communities.

129. Communities in the project area were noted during the project preparation social assessment to generally have a low level of understanding of the risks and means of prevention for both HIV infection and human trafficking. The HIV and Human Trafficking Awareness and Prevention Program (HTAP) will be implemented in local communities through local agencies with mandates covering these areas. The program will strengthen the capacities of agencies such as health services as well as mass organizations such as Women's Union and Youth Union in their work in these areas beyond the immediate scope of the project.

130. The road safety awareness program will be implemented mainly through community-based awareness activities. The program will be delivered through mass organizations such as Women's Union and Youth Union as well as through local schools. The community-based approach will include training-of-trainers that will build the capacity of local community based organizations.

4.2.5 Project related work opportunities

131. The project construction activities will provide short to medium term benefits of local labour hire, especially unskilled labour, for people in the local communities, most of whom are ethnic minorities. The benefits will be in terms of additional sources of income, but will be of limited duration and for a limited number of people.

The contractor bidding documents and civil works contracts will include provision for preference for local sourcing of labour, especially unskilled labour. The contractor will be required to prioritize efforts to hire local ethnic minority people.

Table 4-1: Summary Matrix of Impact Issues, Associated Actions and Resources

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
(i) Land Acquisition and Resettlement Impact: (-)	Resettlement Plan prepared and agreed between ADB and the Government of Vietnam	PMU will be responsible for the updating and implementation of the RPs with the concerned provincial authorities/departments (DOLISA, WU). Project Supervision Consultants will assist finalization and implementation of the RPs.	Resourced under Resettlement Plan	Resettlement Plan. The RP is subject to updating following detailed design.
(ii) Road Safety Impact: (-/+)	Project design to include physical design features such as traffic calming measures and safety signage. Community based road safety awareness and education be provided to local communities and schools for children.	MOT, PMU, PPCs, DOT, DOE, WU, YU	Resourced Under Road Safety Program	Road Safety Plan
(iii) Risk of HIV/AIDS & Human Trafficking Impact: (-/+)	<p>A HIV/AIDS and Human Trafficking Awareness and Prevention Program (HTAP) prepared as part of the design. The HTAP will require updating at the commencement of project implementation to finalize budget and institutional arrangements.</p> <p>HIV/AIDS awareness and prevention measures to be included in the contractors' contracts.</p> <p>Livelihood restoration/ development to form a focal approach to trafficking mitigation along with awareness.</p>	<p>PMU will coordinate the development and implementation of the Program with the concerned Provincial authorities/departments.</p> <p>The PMU/Project Supervision Consultant will sub-contract a qualified service provider</p>	Resourced Under HTAP Program	HIV/AIDS and Human Trafficking Awareness and Prevention Program
(iv) Disruptions to Local	Prioritize hire of local staff. Provide jobs requiring re-training for employees hired	Contractor, PMU	Resourced under works	

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
Communities during Construction Impact: (-)	locally; workers are properly registered with local authorities. code of conduct and implement a strict and zero-tolerance policy to regulate gambling, prostitution, theft, wildlife poaching and forest product collection. Regular liaison meetings with local communes		contracts	
(v) Communication/ Information Dissemination Impact: (+/-)	Communication, Participation and Consultation Plan to be implemented.	PMU, PSC, Contractor	VND 700 million (approx. USD 31,320) (other non-EMDP resources for communication described in Communication , Participation and Consultation Plan)	Communication, Participation and Consultation Plan
(vi) Improved Access and Mobility Impact : (+)	Upgrade 15km rural roads	PMU, PSC, Contractor	VND 6,000 million (approx. USD 263,910)	
(vii) Opportunities for Improved Livelihoods Impact : (+)	Preparation of detailed plan, needs assessment and detailed consultations. Establishment of models, extension training, provision of inputs.	PMU will coordinate the detailed development and implementation of the Program with the concerned	Resourced under Resettlement Plan	Resettlement Plan. The RP is subject to

IMPACTS ISSUES	ACTION	KEY RESPONSIBLE AGENCIES	RESOURCES	RELATED PLANS
		Provincial authorities/departments. Implementation by DARD and DOLISA.		updating following detailed design.
Project related work opportunities Impact: (+)	Contractor to prioritize efforts to hire local ethnic minority people. The contractor bidding documents and civil works contracts to include provision for preference for local sourcing of labour, especially unskilled labour.	PMU and PSC to ensure provisions included in bidding documents and contracts regarding provision for preference for local sourcing of labour, especially unskilled labour with priority to ethnic minority people. Contractors for implementation.	Resourced under Works Contracts.	

Chapter 5 - Grievance Redress

5.1 Project Grievances

132. A project grievance can be defined as an actual or perceived project-related problem that gives ground for complaint by an affected person (AP). As a general policy, the EA (Ministry of Transport - MOT) and IA (Project Management Unit No.2- PMU2) will work proactively to prevent grievances through the implementation of impact mitigation measures and community liaison activities that anticipate and address potential issues before they become grievances. Nonetheless, it is possible that unanticipated impacts may occur if the mitigation measures are not properly implemented or unforeseen issues occur.

133. To address complaints, a project grievance redress mechanism (GRM) will be developed in accordance with ADB requirements and Government procedures. A GRM is a systematic process for receiving, recording, evaluating and addressing AP's project-related grievances transparently and in a reasonable period. The GRM will be established by PMU2 prior to the commencement of any land acquisition or resettlement activities, and will operate during the pre- construction, construction and operation phases.

5.2 Grievance Redress Mechanism

134. The proposed GRM integrates resettlement, environment and technical issues into a single structure. The structure considers Vietnamese laws and provisions for complaint handling as well as nuances of the operating environment and cultural attitudes toward lodging complaints. Specifically, the structure enables the GRM to:

- provide a predictable, transparent, and credible process to all parties, resulting in outcomes that are seen as fair, effective, and lasting;
- build trust as an integral component of broader community relations activities; and
- enable a systematic identification of issues or problems, facilitating corrective actions and pre-emptive engagement.

135. The proposed GRM includes the following elements:

- a grievance receipt and registration system to provide ways for community members to register complaints and confirm they have been received;
- grievance eligibility assessment to determine if the issues raised in the complaint fall within the mandate of the GRM and if the complaints are legitimate;
- grievance assessment and investigation to clarify concerns raised in the complaint, to gather information on the situation, and to identify how the issues might be resolved;
- joint problem-solving, in which all relevant project stakeholders engage in a dialogue and action planning to resolve the problem;
- grievance tracking, including maintenance of written records of grievances, monitoring, public information disclosure and reporting to the affected people; and
- grievance closure, including community feedback and confirmation of resolution of the problem.

136. APs are entitled to lodge complaints regarding any aspect of affected environment, land acquisition and resettlement, such as noise, pollution, entitlements, rates and payment and procedures for resettlement, income restoration programs, etc.

137. The principles and procedures of the GRM are based on provisions of the Land Law No. 45/2013/QH13, dated 29/11/2013; Law on Grievances No. 02/2011/QH13, dated 11/11/2011; Law on Denunciations No. 03/2011/QH13, dated 11/11/2011; Law on Receiving of Residents No. 42/2013/QH13, dated 25/11/2013; Decree No. 75/2012/ND-CP, dated 03/10/2012 of the Government Stipulating Detailed Regulations on Some Articles of Law on Grievance 2011; Decree No. 76/2012/ND-CP, dated 03/10/2012 of the Government Stipulating Detailed Regulations on Some Articles of Law on Denunciation 2011; Circular No. 06/2013/TT-TTCP, dated 30/9/2012 of the Government Inspectorate Stipulating Procedures of Denunciation Settlement, Circular No. 07/2014/TT-TTCP, dated 31/10/2014 of the Government Inspectorate Stipulating Procedures of Settling Grievances, Denunciating Letters and Letters of Requests; ADB's SPS (2009) and ADB's Public Communications Policy (2011). According to the Land Law No. 45/2013/QH13, a grievance must be submitted within 90 days of the time they receive the decision of land acquisition or become aware of the actions of the administrative action in question. In circumstances, such as sickness, natural calamity, or required to work or study in a distant location or other objective constraints, that time will not be counted within the 90 days mentioned above.

138. The GRM consists of several escalating stages. Complaint resolution and decision making are undertaken by PMU2's Environmental and Social Unit (ESU) in consultation with the District Grievance Redress Units of Than Uyen, Tan Uyen, Lai Chau City, Tam Duong (Lai Chau Province), Van Yen, Van Chan (Yen Bai Province), Van Ban (Lao Cai Province) then by a Provincial-level Grievance Redress Committee (GRC) of respective provinces, if required. The roles and responsibilities of PMU2 ESU, DGRU/CGRU and GRC are presented below.

139. **Environment and Social Unit of PMU2 (PMU2 ESU):** The unit consists of social and environmental staff at PMU2, supported by staff members, preferably one or two members based in respective Districts. Staff of PMU2 ESU will (i) receive all complaints from APs seeking access to the GRM; (ii) register the complaints; (iii) determine complaint eligibility; (iv) send confirmation of eligibility to the complainant; (v) forward the complaint to relevant contractor (during construction) or facility operator (during operation), DGRU/CGRU and GRU; (vi) follow up with the DGRU/CGRU and the GRC on status of complaint redress; (vii) investigate the complaint and identify corrective actions that are within the mandate of MOT; (viii) inform AP on the proposed corrective action; (ix) track and record all decisions taken; (x) maintain a complaint registration, tracking and monitoring system; and (xi) report to MOT, respective districts (07) and provinces

140. (03) on the implementation and result of the corrective action plans.

141. **District/City Grievance Redress Units (DGRU/CGRU) (07):** The Unit consists of 6 officers of six relevant District/City divisions: Center for Land Fund Development, Natural Resources and Environment, Inspectorate, Finance, Construction, and Resident Receiving Office. The Units are chaired by the Vice Chairmen of 07 respective District People's Committees/City People's Committee. The DGRU/CGRU will (i) determine eligibility of complaints relating to resettlement and environment, (ii) conduct an assessment of complaints that relate to resettlement and environment, (iii) send confirmation of eligibility to the AP in case the complaint is related to resettlement and environment, with copy to PMU2 ESU; (iv) identify the corrective action plan and send it to the AP with copy to PMU2 ESU for further processing; (v) execute the plan and report the implementation, result of the plan implementation to PMU2 ESU; (vi) participate in GRC meetings if invited; (vii) monitor implementation of grievance resolution processes under their jurisdiction.

142. **The Grievance Redress Committees of respective Provinces of Lai Chau, Yen Bai and Lao Cai (GRC):** The Committee consists of 5 officers of five relevant provincial departments: Natural Resources and Environment, Inspectorate, Finance, Construction, and Resident

Receiving Office. The Committee is chaired by the Vice Chairman of respective PPC. The Committee will (i) determine eligibility of appeals; (ii) conduct the assessment of appeals; (iii) send confirmation letter of eligibility to the AP with a copy to PMU2 ESU; (iv) identify corrective action plans for appeals; (v) manage and supervise the implementation of the plan; and (iv) inform PMU2 ESU on the decision of the corrective action plan.

143. The GRM stages are presented below.

144. Stage 1: Submission of complaint.

- a. The AP submits a written complaint to PMU2 ESU staff, or as letter, or email (with attached signed letter). Contact details of PMU2 ESU will be posted at the construction sites. A registered and legally recognized civil society organization (CSO) with valid representation authorization may file a complaint on behalf of an AP through PMU2 ESU.
- b. Complaints can also be sent directly to the works contractor (during construction through a hotline number that will be posted for construction-related matters (such as noise, dust, access to property and other matters) which require immediate action, or to the operator (during the operation phase). Contractors are required to register the complaint, and report to PMU2 ESU on complaints received and actions taken.

145. Stage 2: Registration, Eligibility Assessment, Confirmation of Eligibility [max. 5 working days]

- a. PMU2 ESU registers the complaint in a grievance registry and identifies the nature of the complaint. If the complaint relates to resettlement (case 1), PMU2 ESU forwards the complaint to the relevant DGRU/CGRU for further processing. If the complaint relates to other matters such as environment, project design, damage to property or others (case 2), PMU2 ESU proceeds to the next step.
- b. The DGRU/CGRU (case 1) or PMU2 ESU (case 2) determines whether the complaint is eligible for the GRM using the screening procedure.
- c. If the complaint is deemed ineligible, the complainant is informed of the decision and the reasons for ineligibility.
- d. If the complaint is deemed eligible, the DGRU/CGRU (case 1) or PMU2 ESU (case 2) identifies how the complaints should be investigated and addressed and who will be responsible for these actions, and informs the relevant parties accordingly. Options include: (i) the works contractor (during construction phase); (ii) the operator (during operation phase); (iii) the Center for Land Fund Development; (iv) the DGRU/CGRU;
- e. (iv) PMU2 ESU; (v) others.
- f. The DGRU/CGRU (case 1) or PMU2 ESU (case 2) sends a confirmation of eligibility to the complainant, with copy to PMU2 ESU for case 1. The letter provides information on when a decision will be made regarding the complaint, and the main agency in charge of addressing the complaint.

146. Stage 3: Assessment and Identification of Action [max. 10 working days]

- a. If the complaint is eligible, the entity identified under Stage 2(d) conducts an assessment and gathers information about the complaint to determine how it might be resolved.
- b. If outside experts or technical information is needed, the entity identified under Stage 2(d) may seek such guidance and may request all parties concerned (including the complainant, as relevant) to participate in the grievance redress process.

- c. The entity identified under Stage 2 (d), in consultation with PMU2 ESU, drafts a time-bound action plan including responsibilities for plan implementation.
- d. The entity identified under Stage 2(d) submits the assessment letter including time-bound action plan to the complainant. PMU2 ESU is copied in the letter.

147. Stage 4: Confirmation by AP, or First Appeal [max. 10 working days]

- a. The complainant confirms in writing consent with the proposed action plan to execute immediately the action plan.
- b. The complainant may submit an appeal to GRC of respective Provinces in the following cases: (i) no response is provided within 30 days after acknowledgement of the complaint; (ii) the complainant disagrees with the decision under Stage 3.

148. Stage 5: Review, Eligibility Assessment and Confirmation of Appeal by GRC of respective Provinces [max. 5 working days]

- a. The GRC informs PMU2 ESU/concerned DGRU/CGRU that the complainant appealed the decision, and requests all relevant documents and issued decisions from PMU2 ESU/concerned DGRU/CGRU. The GRC, in consultation with the DGRU/CGRU determines whether the appeal is eligible using their own screening procedure.
- b. If the appeal is deemed ineligible, the complainant is informed of the decision and the reasons for ineligibility.
- c. If the appeal is deemed eligible, the GRC identifies who and how the complaint should be investigated and addressed, and informs the relevant parties accordingly.
- d. The GRC sends a confirmation of eligibility to the complainant with copy to PMU2 ESU for registration. The letter provides information on when a decision will be made regarding the complaint, and the main agency in charge of addressing the complaint.

149. Stage 6: Assessment and Identification of Action by GRC [max 10 working days]

- a. If the complaint is eligible, the entity identified under Stage 5 (c) conducts an assessment and gathers information about the appeal to determine how it might be resolved.
- b. If outside experts or technical information is needed, the entity identified under Stage 5 (c) may seek such guidance and may request all parties concerned (including the complainant, as relevant) to participate in the grievance redress process. For cases involving ethnic minority complainants, CEMA will participate as a party to the assessment and decision making process.
- c. The entity identified under Stage 5 (c), in consultation with PMU2 ESU, drafts a time-bound action plan including responsibilities for plan implementation.
- d. The entity identified under Stage 5 (c) submits the assessment letter including time-bound action plan to the complainant. The DGRU/CGRU and PMU2 ESU are copied in the letter.

150. Stage 7: Confirmation by AP, or Second Appeal [max 10 working days]

- a. The complainant confirms agreement in writing with the Decision and the proposed action plan.
- b. The complainant may appeal to the local court in the following cases: (i) no response is provided within the 30 days after acknowledgement of the appeal; (ii) the complainant disagrees with the decision in Stage 6. In fact, at any time in the GRM the AP may appeal to the local court system if they so choose.
- c. If the AP is not satisfied with the outcome of the GRM, they may send their grievance

directly to ADB's Southeast Asia Department (SERD) through ADB Viet Nam Resident Mission. If the AP is not satisfied with the responses of SERD, APs can access ADB's Accountability Mechanism via [https:// www.adb.org/site/accountability-mechanism/main1](https://www.adb.org/site/accountability-mechanism/main1).

151. Stage 8: Implementation of Action, Monitoring, and Reporting [duration: as defined in the Decision and time-bound action plan]

- a. Implementation of the Decision and action plan commences, with close collaboration of relevant project stakeholders depending on the type of complaint.
- b. PMU2 ESU monitors the implementation of actions and records findings, to be filed through the grievance administration system. As part of the monitoring process, PMU2 ESU consults the relevant project stakeholders, as needed.

152. Stage 9: Closure of Complaint

- a. When the decision/actions are implemented and when monitoring is completed, PMU2 ESU prepares a final report which is shared with the complainant, DGRU/CGRU and GRC, and filed.
- b. The complainant confirms completion of the actions and agrees to the closure of the complaint. The grievance dossier is closed and filed in the project archive.

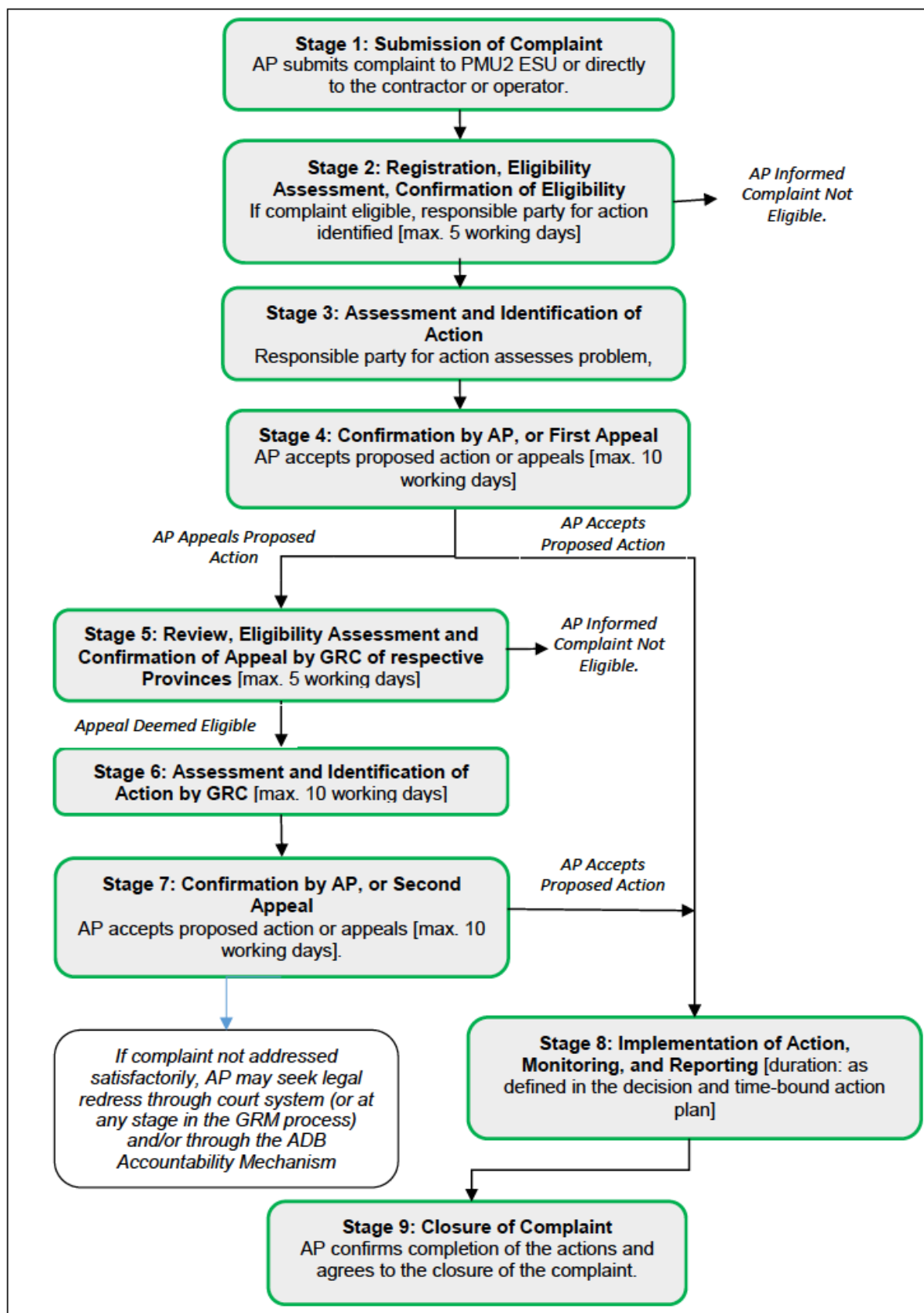
153. The AP will not have to pay any fee for his/her case (official or unofficial). APs will be encouraged to use the above GRM. However, the GRM does not impede access to the country's judicial or administrative remedies by APs, at any stage, if they so wish.

5.3 Role of Committee for Ethnic Minority Affairs in GRM

154. Based on the Circular No. 01/2012/TTLT-BTP-UBDT dated 17 January 2012 guiding legal assistance for the ethnic minority people CEMA will have various responsibilities to provide support through the GRM process. The provincial, district level CEMA are to cooperate with the judicial sections at all levels and representatives of the commune People's Committees in providing legal assistance to ethnic minority people when they have complaints and / or lawsuits (including: (i) providing legal advice; (ii) Participation in proceedings (iii) Representation except for legal proceedings, (iv) Other forms of legal aid as provided for by the law on legal aid. In addition, if ethnic minority people require, supporting in translating or providing interpreter. The above support is free of charge.

¹ Vietnamese version: <https://www.adb.org/vi/documents/accountability-mechanism-policy-2012>

Figure 1. Project GRM



Chapter 6 - Monitoring, Reporting & Evaluation

155. The implementation of the EMDP will be monitored regularly to help ensure that it is implemented as planned and that mitigating measures designed to address adverse social impacts are adequate and effective. The monitoring will be done at two levels, internal monitoring to be done by the PMU, and external monitoring to be undertaken by an external monitor.

6.1 Internal Monitoring

156. The Project Management Unit 2 (PMU2) will conduct regular monitoring of the project, including implementation of the EMDP. The PMU will maintain a file of all data gathered in the field, including a database on the affected households. The PMU2 will submit semi-annual social monitoring reports to MOT starting from the commencement of the project. The PMU2 will also include updates on resettlement progress in its periodic project reports to ADB and MOT. Social monitoring reports will be provided to AHs and submitted to ADB for updating on website.

157. Internal monitoring and supervision will have the following objectives:

- The HIV and Human Trafficking Awareness Program and the Community Road Safety Awareness Program are implemented to meet the planned objectives.
- The Resettlement Plan is implemented as planned, with compensation and other entitlements are computed at rates and procedures as provided in the agreed RP.;
- The livelihood development program is implemented in line with the objectives and participation eligibility for ethnic minority people affected by land acquisition;
- Public information, public consultation and grievance redress procedures are followed as described in the EMDP and approved updated RP;
- Contractors effectively manage workers and community relations to minimize disruptions to community life and are able to quickly resolve any issues of discord;
- Ethnic minority people have equitable access to project employment opportunities;
- Ethnic language interpreters engaged for public consultation and information dissemination activities.
- Rural access infrastructure set out in the EMDP is implemented;
- Road safety awareness activities are delivered effectively to ethnic minority people in the project areas.
- The GRM is accessible to ethnic minority people, and that appropriate support is provided by CEMA, CPC, DPC and PPC legal services;
- The GRM is responsive to resolving ethnic minority grievances related to any matters regarding the project, including related to the EMDP, in a culturally appropriate and timely manner.

6.2 External Monitoring

158. An external monitor Agency (EMA) will be engaged by the project to conduct an external assessment of the extent to which EMDP objectives are being met. Specifically, the objectives of the monitoring program are:

- To verify internal monitoring information
- To verify whether the activity objectives are being met in accordance with the EMDP and RP, and if not to suggest corrective measures;
- To assess the effectiveness of the consultation activities of the project to ensure information dissemination and opportunities for consultation of ethnic minority people, including if special measures to ensure those with limited literacy and fluency in Vietnamese language are incorporated;
- To assess the effectiveness and accessibility of the grievance redress mechanism for those with limited literacy and fluency in Vietnamese language;
- To assess the extent of ethnic minority participation in the mitigation measures and benefits of the project;
- If shortcomings in participation of ethnic minority people are identified, to identify corrective measures, in consultation with ethnic minority people in the project areas, their community leaders and CEMA;
- To identify problems or potential problems;

159. The methods for external monitoring activities include:

- Participatory Rapid Appraisal (PRA), which will involve obtaining information, identifying existing or potential problems, and finding specific time-bound solutions through participatory means including: a) key informant interviews including representatives of civil society, community groups, and non-governmental organizations; b) focus group discussions (FGDs) on specific topics such as ethnic minority specific actions, compensation payment, income restoration and relocation²; c) community public meetings; d) direct field observations of program implementation; e) formal and informal interviews with households and individuals in the local communities; and, f) in-depth case studies of problems identified by internal or external monitoring that required special efforts to resolve.
- Review implementation reports of the HTAP and community road safety programs implementation reports as well as their monitoring, review and evaluation reports.
- Review the results of internal monitoring.

Post-completion Evaluation

160. A post-completion evaluation will be carried out one year following completion of all activities covered under the EMDP, expected to be combined with post-completion evaluation of the resettlement plan:

² Groups that may be targeted for involvement in FGDs include AHs in general, and vulnerable AHs such as women-headed households, the poor, and ethnic minorities

- Carry-out a survey of affected households to compare with the baseline survey data to assess if income of affected households and other living conditions have been restored as pre-project. The survey will cover at least 20% of severely affected households, 100% of affected poor, landless and female headed households, as well as at least 10% of all other affected households. The database will disaggregate information by gender, vulnerability, and ethnicity.
- Conduct Participatory Rapid Appraisal (PRA), which will involve obtaining information identifying remaining/outstanding problems and finding specific time-bound solutions through participatory means including: a) key informant interviews including representatives of civil society, community groups, NGOs and Committee for Ethnic Minority Affairs; b) focus group discussions (FGDs) on specific topics such as outstanding issues related to compensation payment, income restoration and relocation; c) direct field observations, for example, completion of resettlement site development; d) formal and informal interviews with affected households, women, ethnic minorities, and other vulnerable groups to conclude on the remaining and outstanding issues.
- Discuss with the EA and IA on the completion of land acquisition and resettlement as well as the remaining/outstanding issues and commitments on actions, timeframe, resources and reporting of EA and IA to completely resolve the remaining/outstanding issues (if any).
- Discuss with EA and IA on the completion of agreed measures for mitigating negative impacts and measures for enhancement of positive impacts on the local ethnic minority people.
- Review the results of the mid-term and final evaluation of the HIV and Human Trafficking Awareness and Prevention Program and Community-based Road Safety Awareness Program

Schedule & Team Composition

161. Independent monitoring and evaluation should be conducted by a consultant agency (research institute, consultancy firm or NGO), with sufficient capacity and experience in monitoring, evaluating socio-economic survey and implementation of RP/EMDP. PMU 2 will hire (select) consultant to perform this task. Fees paid to EMA are to be deducted from the counterpart fund of the project. The EMA will be responsible for preparing periodic reports on progress and recommending solutions to issues arising during the monitoring process.

162. External monitoring activities will be carried out for a period of at least 2 years on a semi-annual basis starting from the conduct of DMS until the completion of livelihood/income restoration activities. For project components where payment of compensation/allowances has been substantially completed, the external expert will also conduct a resettlement audit to verify completion of payment of compensation/allowances and hand-over of plots and recommend issuance of no objection letter for commencement of civil works. The post-completion evaluation will be carried out one year following completion of all resettlement activities.

163. Information presented in the reports should be disaggregated by sex and ethnicity.

164. All reports will be prepared in English and Vietnamese and submitted to MOT and ADB simultaneously on a semi-annual basis.

165. The table below sets out sample monitoring and evaluation indicators. The list of indicators and associated targets as appropriate will be finalized during inception phase of the external monitor in consultation with PMU2 and ADB.

Table 6-1: Sample Monitoring and Evaluation Indicators

	Examples of Indicators
Implementation of EMDP mitigation and beneficial measures	Process Indicators <ul style="list-style-type: none"> Progress of implementation of mitigation / beneficial measures against plan Number of activities that occur/completed—construction of rural roads, livelihood development activities, HIV and Human Trafficking Awareness and Prevention, Road Safety Awareness model farms developed under the livelihood development program are accessible to non-affected households within those communities. % affected ethnic minority households participating in the activities covered under the HTAP; % improvement in awareness and knowledge related to HIV, human trafficking and road safety; % affected ethnic minority households participating in the livelihood restoration program;
	Outcome Indicators <ul style="list-style-type: none"> Increased participation in remunerated work Improved access to markets and services for communities in areas serviced by project-constructed rural roads. <p>(Improved awareness of HIV and human trafficking issues and prevention and improved awareness of road safety will be monitored and measured separately by HTAP and Road Safety Awareness Programs under their M&E activities.)</p>
Consultation, Participation	Process Indicators <ul style="list-style-type: none"> Number of consultation and participation programs held with various stakeholders Number of consultation and participation activities that occur—meetings, information dissemination, brochures; flyers, training Percentage of IP women as participants; number of meetings exclusively with IP women Percentage of vulnerable IP groups represented / attending meetings; number of meetings exclusively with vulnerable IP groups. Languages used at meetings Consultation and participation progress against plan
	Outcome Indicators <ul style="list-style-type: none"> Awareness of EM issues among implementing stakeholders Awareness of EMDP mitigation and beneficial measures amongst recipients Awareness of project details amongst stakeholders EM perception of effectiveness, cultural appropriateness and inclusiveness of consultation measures Attendance at consultation and participation activities Level of involvement by IP and representatives in the design and implementation of consultation and participation Communication modes are accessible, effective and understandable.

	Examples of Indicators
Changes to Status of Women	<p>Process Indicators</p> <ul style="list-style-type: none"> • % participants in EMDP community-based programs are women • % unskilled labour in project construction are women • Equitable participation of women in livelihood development program <p>Outcome Indicators</p> <ul style="list-style-type: none"> • Increased participation in remunerated work <p>(Improved awareness of HIV and human trafficking issues and prevention and improved awareness of road safety for women will be monitored and measured separately by HTAP and Road Safety Awareness Programs under their M&E activities.)</p>
Procedures in Operation	<ul style="list-style-type: none"> • CEMA and Women's Union participate in GRM and program implementation of HTAP and Community Road Safety programs. • The GRM is accessible to ethnic minority people, and that appropriate support is provided by CEMA, CPC, DPC and PPC legal services; • The GRM is responsive to resolving ethnic minority grievances related to any matters regarding the project, including related to the EMDP, in a culturally appropriate and timely manner.

Chapter 7 - Institutional and Implementation Arrangements

166. The following section sets out the roles and responsibilities of various agencies and bodies in updating and implementing the EMDP.

7.1 Key Implementing Agencies

7.1.1 Ministry of Transport (MOT)

MOT is the Project Executing Agency for the Project, through the Project Management Unit 2 (PMU 2). As such MOT and PMU are generally responsible for the implementation of the project. They will be responsible for the approval of the detailed design, disbursement of funds, monitoring of the project implementation and coordination with ADB, the People's Committees of the respective provinces and districts of the project areas.

7.1.2 Project Management Unit 2 (PMU2)

167. PMU2 is responsible for overall coordination of program implementation as well as disbursement of funds.

168. The PMU2 will have specialist staff (or sign contract with a qualified and experienced agency/unit), which will be responsible for EMDP implementation. Their tasks include the following:

- Coordinate with the People's Committee in the formulation and implementation of the RP/EMDP and updated RP/EMDP. Recommend to MOT for submitting the RP/EMDP and updated RP/EMDP to ADB for the review and approval;
- Carry out the development and implementation of training programs for the People's Committees of districts, communes on the EMDP implementation and grievance redress with support from PSC consultants;
- Reporting the status of funding matter to MOT to ensure that the budget for the RP and activities covered under the EMDP are available and adequate;
- Provide information to, and work closely with the relevant departments and local governments in the implementation of the project;
- Monitor and report the settlement of complaints relating to the project and that the grievance redress mechanism operates effectively.
- Implement the internal monitoring of the EMDP implementation and ensure that the implementation of activities is in compliance with the agreed EMDP;
- Coordinate with PPC and other relevant agencies in the project areas to ensure the dissemination of relevant project and program information and community consultations. The consultant will support these activities.;
- Recruit an independent monitoring consultant to conduct external monitoring. Coordinate with the independent monitoring consultants for the conduct of external monitoring of the implementation of the RP and EMDP.

- Manage resourcing of local interpreters of ethnic minority languages.

7.1.3 Provincial People's Committees (PPC)

169. The People Committee will have an oversight responsibility for the project programs conducted in the project areas within their management authorities. The PPC responsibilities with respect to the resettlement plan are discussed separately in the RP. Their main responsibilities for other activities discussed within the EMDP are:

- Implement information dissemination to raise the awareness of the project development to the relevant agencies and administrative levels;
- Instruct District People's Committee and relevant agencies such as DOT, Department of Traffic Safety, Department of Education and Training, DOH, DOLISA, DARD, CEMA as well as mass organizations to help in the formulation and implementation of the project activities;
- Coordinate the Road Safety Awareness Program;
- Resolve complaints and problems as well as enforcement of resettlement when necessary.

7.1.4 Committee for Ethnic Minority Affairs (CEMA)

170. CEMA is a Government agency with coverage from national to the district level with a mandate to manage ethnic minority affairs. CEMA will be consulted on project activities and provide advice on matters relating to ethnic minorities. It will participate in significant consultation activities and be consulted in the process of monitoring of project implementation. CEMA will participate in the GRM in cases involving ethnic minority people.

171. Provincial and District CEMA have specific responsibilities as follows:

- Review the EMDP activities and advise on EMDP implementation issues;
- Participate in the EMDP implementation together with other relevant agencies;
- Participate in monitoring of EMDP implementation, discuss with local ethnic minority peoples, local authorities on the modifications of interventions/action plans (if any) to ensure that the mitigation activities and development measures to ethnic minority groups are implemented properly;
- Advise on the issues/impacts that arise during the subproject implementation in the ethnic minority area;
- Record of data/issues on the EMDP implementation, share of experiences and lesson learned from implementing of EMDP of the Subproject to other projects/subproject that are/will be implementing in the area, including the government funded projects.

172. Based on the Circular No. 01/2012/TTLT-BTP-UBDT dated 17 January 2012 guiding legal assistance for the ethnic minority people:

- The provincial, district level CEMA to cooperate with the judicial sections at all levels and representatives of the commune People's Committees in providing legal assistance to ethnic minority people when they have complaints and / or lawsuits (including: (i) providing legal advice; (ii) Participation in proceedings (iii) Representation except for legal proceedings, (iv) Other forms of legal aid as provided for by the law on legal aid. In addition, if the EM people require, supporting in translating or providing interpreter. The above support is free of charge;

7.1.5 Department of Labour, War Invalids and Social Affairs (DOLISA)

173. DOLISA will play a lead role in the design and implementation of the project's Livelihood Development Program (LDP) together with PMU2. Specifically, DOLISA will undertake the following tasks and responsibilities:

- Collaborate with PMU, DD Consultants, and relevant local agencies such as Department of Agriculture and Rural Development (especially Extension Centre) and other relevant stakeholders at the provincial and local levels in the detailed design of the project's LDP Program during updating of RP.
- Together with DARD and PMU, determine and establish an effective management structure for the LDP that includes key stakeholders.
- In undertaking detailed design DOLISA will collaborate closely with the DARD Extension Centre as well as consult with DCARB and other relevant organizations in the project areas. The design of the LDP should be based on a needs assessment of eligible affected persons and local conditions to ensure effectiveness of the LDP in restoring income levels.
- Take lead in the implementation of the LDP in close collaboration with DARD Extension Centre. Consult and guide affected persons on training options, options to access credit, market outlets for products and other forms of material support (such as inputs for farming). Together with DARD Extension Centre deliver LDP activities and training programs in the local areas.
- Monitor and report on implementation of the LDP, including implementation of specific LDP activities, participation of affected persons, and outcomes of LDP activities.

7.1.6 Department of Health/Provincial AIDS Centre/District Preventative Medicine Centre

174. The health services will participate in the oversight and implementation of the HIV aspects of the HIV and Human Trafficking Awareness and Prevention Program (HTAP). Their role in the management of the program at the provincial level will be detailed when the HTAP is finalized at the commencement of the project.

7.1.7 Department of Transport / Traffic Safety Committee:

Coordinate in managing and organizing the activities of road safety awareness propaganda;

7.1.8 Department of Traffic Safety:

Coordinate the organization of activities of road safety awareness propaganda;

7.1.9 Department of Education and Training:

Coordinate management activities awareness, safety awareness in schools.

7.1.10 Organization in charge of Compensation implementation, District People's Committee (DPC); District Compensation and Resettlement Board (DCARB) and Centre for Land Development Fund (CLDF)

175. The DCARB is responsible for implementation of the resettlement plan. The DCARB led by the Vice President of the District People's Committees will include the Directors of Centre for

Land Development Fund (vice-chair), Financial and Planning Office, Natural Resources and Environment Office, Agricultural Office, Economy and Infrastructure Office, Chairperson of the affected communes and PMU 2 staff, in addition to representatives of the Fatherland Front, Farmers Associations, Committee for Ethnic Minority Affairs, the Women's Unions and representatives of affected households. The specific tasks of the DCARB are discussed in the RP.

7.1.11 Commune People's Committee

176. The responsibilities of the CPC relative to resettlement include the following:

- Assign commune officials to assist the DCARB in the updating of the RP and its implementation;
- Support the implementation of all programs and activities covered under the EMDP.

7.1.12 Mass Organizations: Women's Union, Youth Union and Farmers' Union

177. Relevant mass organizations will participate in program implementation in areas in the realm of their respective mandates. The Women's Union and Youth Union will collaborate in the implementation of the HTAP and community road safety awareness programs, especially with respect to community outreach. The Women's Union will also be a member of the DCARB and GRM. The Farmers' Union will support the implementation of the livelihood development program in cooperation with DARD and DOLISA.

7.1.13 Detailed Design Consultants (DD Consultant) /Project Supervision Consultant (PSC)

178. The DD Consultant or PSC will have a team of expertise covering oversight of the aspects set out in the EMDP, including technical design, social safeguards, social development and road safety. The consultant team will provide technical assistance to PMU 2 and the major stakeholders related to the updating and implementation of the EMDP.

179. The social safeguards tasks of the DD Consultant/ PSC include:

- Assess the capacity of the concerned institutions involved in EMDP implementation at the central and local levels, including the training and capacity building activities provided during the Loan implementation, and continue to implement necessary capacity-building interventions;
- Review and assess the consultation and disclosure activities that have been carried earlier, and revise the approach as necessary to ensure the transparent, continuous and active involvement of the stakeholders;
- Support the detailed design of the project's livelihood development program (LDP) under the RP. Monitor and review LDP implementation and provide advice, as needed, to ensure the effectiveness of the LDP in restoring income earning capacity of eligible affected persons.;
- Assist the DPCs in the implementation of the ethnic minority and gender strategies as described in the updated RP and EMDP;
- Coordinate with the external monitor, ensuring that its findings and recommendations are discussed with PMU 2 and the DPCs for appropriate action; and

- Assist PMU 2 in the preparation of quarterly progress reports on resettlement, including the preparation of a Resettlement Completion Report.
- Ensure that requirements on the contractor set out in the RP and EMDP are included in the conditions in the bidding documents and contracts for civil works and assist the PMU 2 to monitor contractor performance in regard to these matters.

180. The road safety awareness tasks of the DD Consultant/ PSC include:

- Provide technical support to the PMU 2, PPC related agencies to design and implement the community-based road safety awareness program;
- In collaboration with the Traffic Safety Committee, develop training and IEC materials and provide training to community facilitators. Provide guidance on modes of communication to ensure that language use, community mobilization methods and style of IEC materials are conducive to ensure full participation of ethnic minority people.

181. The social development and gender tasks of the DD Consultant/ PSC include:

- Provide technical support to the PMU 2, PPC related agencies to finalize the detailed design and implement the HIV and Human Trafficking Awareness Program;
- Manage implementation of the Consultation, Participation and Communication Plan. Ensure meaningful participation of ethnic minority people, including that local interpreter resource persons are provided for consultation meetings and that IEC material is appropriately designed to address various language competency levels.

182. The technical design tasks of the DD Consultant/ PSC include:

- Design of the improved rural access infrastructure measures described in the EMDP.

Chapter 8 - Budget and Financing

183. The EMDP specific actions are estimated to cost VND 8,040 million, including 20% contingency on direct costs.

184. Funding for the EMDP implementation will be sourced from the Government of Vietnam. The budget will be allocated by MOT.

185. A summary is presented below.

Table 8-1: EMDP Budget Estimate

Mitigation/ Beneficial Measures	Cost (VND million)	Remarks
local interpreters of ethnic minority languages for consultation and information dissemination meetings	700	6 interpreters x 288 days x VND400,00/day
Upgrading of rural access roads to highway.	6,000	Approx. 15km rural roads upgraded to DBST.
Direct Costs	6,700	
Contingency (20%)	1,340	
Total	8,040	

186. Resources required to mitigate other impacts and deliver benefits identified in the EMDP are sourced from other programs and action plans. The resources for these are presented in Table 4.2 above.

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Appendix 1: Summary of HIV - Human Trafficking Awareness & Prevention Program

Rationale for the HIV/AIDS and Human Trafficking Prevention Program (HTAP)

187. The project contributes to increased risks of HIV infection and human trafficking. There are also underlying pre-existing risks in the project areas. The HIV and Human Trafficking Prevention Program has been prepared to mitigate the project induced risks as well as to strengthen the awareness and resilience of local communities. At the community level, the program will be delivered through local stakeholders with mandates for HIV and human trafficking prevention. A service provider will be engaged by the project to provide support to the local stakeholder agencies and to provide training directly to construction workers. Implementation arrangements will also focus on partnership with local agencies and community based organizations, including Department of Health, Provincial AIDS Centres, Women's Union and Youth Union. The following provides a summary of the HTAP program. The reader is referred to the HTAP report for further details.

188. Risks for HIV infection stems from the following factors:

- an influx of construction workers who are expected to be predominantly unaccompanied men from other parts of the country. There is an assumed associated increase in demand for, and presence of, sex workers in the vicinity of the construction sites;
- increased mobility upon completion of the road which will include movement to and from areas of higher HIV prevalence.
- general low understanding of risks of HIV transmission and prevention amongst communities in the project areas.

189. Risks for human trafficking are associated with:

- increased vulnerability of women and children if they, or their families, experience economic hardship or displacement as a result of land acquisition and resettlement or other project impacts;
- the ease of movement resulting from the operation of the completed project. This increases potential for exploitation when women are prompted, or have the desire, to work far from home yet are insufficiently aware of the risks, their rights and appropriate responses to exploitative situations.

190. To address the potential impact of the road project on HIV and Human Trafficking the PPTA recommended the project implement mitigating measures. The mitigating measures will take two forms:

- A specific HIV/AIDS and Human Trafficking Prevention Program (HTAP) be financed under the loan;
- Information, education, and communication on HIV/AIDS and STIs and the prevention of trafficking be made a contractual obligation of the construction contractors.
-

HIV and Human Trafficking Situation

191. The construction phase of the project presents increased risks of HIV/AIDS infection to the local communities, construction workers and mobile populations. There will be a number of

concentrated locations for construction workers (including construction camps) during the construction of the project. The vast majority are expected to be unaccompanied men away from their families and communities for extended periods. There is also expected to be an associated increase in the presence of sex workers and other mobile populations during this phase. There are several project impacts that would adversely impact on or present significant risks to livelihoods and household living standards as well as social dislocation – especially land acquisition and resettlement and changed traffic flow. If such impacts are not mitigated women and children can face significantly increased risks of human trafficking and exploitation. After peaking in the early 2000s, Viet Nam's HIV epidemic has stabilized, with HIV prevalence among adults (15-49) at 0.4%. However, HIV remains a public health threat in Viet Nam, with an estimated 11,000 new HIV infections and 7,800 AIDS-related deaths in 2016. Injecting drug use remains the main mode of HIV transmission. The epidemic is concentrated among key populations, especially people who inject drugs, men who have sex with men and female sex workers and their sexual partners. People living with HIV mainly live in large cities and the mountainous provinces.

192. The overwhelming majority of HIV infections are amongst men, however, the proportion of women infected has been steadily increasing. Men accounted for 73.2% of all reported cases in 2009. The proportion of female HIV cases among all cases reported has been steadily increasing. The majority of PLHIV reported in 2013 are between the ages of 20-39, with this age demographic accounting for 79%. Injecting drug use is the leading contributor to the transmission of HIV in Viet Nam, further fuelled through sexual transmission.

193. The current situation of HIV infection the three project provinces is:

- Lai Chau: In Lai Chau province, the total number of people living with HIV/AIDS is 3,449. The number of HIV infections detected in 2016 was 227. This rate is around twice that of Yen Bai and Lao Cai. However, this figure at the same time represents a decrease of 27% of new infection cases over the previous years. Those with HIV are mostly men, accounting for 71.7%. Infected persons are mostly in the age group 25-49 years (69%) with those aged 16 to 24 representing 26%. Persons who use intravenous drugs (PWID) represent the largest infected group. Some communes in remote and mountainous areas have a high rate of drug addicts who have switched from smoking to injecting. The proportion of intravenous drug users with HIV in Lai Chau province is one of the highest in the country at 28% of PWID.
- Yen Bai: Yen Bai Province has seen a decrease in new infection rates over the past few years. The two project area districts of Van Chan and Van Yen have the highest number of new rates in the province.
- Lao Cai: The total number of HIV infected people detected in the province is 2,880 people, and another 2,110 have developed AIDS. Over 63% of HIV infected people in the group of drug users. The risk of HIV infection is concentrated mainly through blood (65%) and sexual transmission (24.8%). The northern and northwestern border areas are also the key areas for drug dealing, narcotics, heroin and addictive drugs. It is also home to high numbers of drug users. In some remote and mountainous areas, there are drug retailers; smoking habit, opium cultivation of some ethnic minority households has not been resolved thoroughly and the trend of rejuvenation of drug addicts, etc. makes the situation in the border area complex. The project area district of Van Ban has the highest number of new infection cases and Bao Yen District ranks 5 out of 9 districts with new infection cases.

194. Trafficking of women from Viet Nam is linked primarily to prostitution and forced labour. According to the Vietnamese Ministry of Public Security, trafficking of women and children has become increasingly complicated and more difficult to control. In the recent years, especially following Vietnam's transfer to market economy, the situation of human trafficking has become a serious and an increasing national trend. In Vietnam, the crime of human trafficking occurs in all

63 provinces/cities and is concentrated in border areas of China, Laos and Cambodia. In the period 2011 - 2015, authorities investigated and discovered over 2,200 human trafficking cases, arrested more than 3,300 offenders and rescued and received nearly 4,500 victims of trafficking. In 2016 alone, there were 383 detected human trafficking cases, involving 523 criminals, and 1,128 victims. Vietnamese men and women often migrate through labour recruitment companies in the construction, fishing, agriculture, mining, logging, and manufacturing sectors. Some of these workers subsequently face conditions of forced labour. Vietnamese women and children subjected to sex trafficking throughout Asia are often misled by fraudulent labour opportunities and sold to brothels on the borders of Cambodia, China, and Laos, with some eventually sent to third countries.

Target Groups for the HTAP

195. Given limited resources the HTAP is designed as a targeted program focusing on sub-groups in target locations that have been assessed as being most vulnerable to HIV or human trafficking as a result of the construction activities. The five target groups of the HTAP are outlined below.

Target Group 1: Women 18-40 living in communes directly affected by the construction, with a specific focus on women from resettled households

196. Women aged 18-40 are a target group for both HIV prevention and human trafficking prevention. Women in this group are vulnerable on a number of fronts. The influx of male construction workers creates opportunities for transactional sex with migrant workers. Increased mobility resulting from the new road enables women to seek out opportunities, or be coerced into moving, away from their home. Women in households who have been resettled may have increased vulnerability where economic hardship or displacement has resulted from the resettlement process.

Target Group 2: Female Sex workers (FSW)

197. Female sex workers are a target group for HIV prevention. The FSW target group includes women working within entertainment establishments and women working as street based sex workers. A number of factors combine to place FSW at risk. These include: unequal bargaining power to negotiate condom use; few alternative income opportunities; lack of knowledge to prevent infection; lack of protection from authorities; and lack of access to mainstream health services.

Target Group 3: Mobile Populations

198. Mobile populations is a broad and loosely defined target group that encompasses transport workers, traders, informal migrant/itinerant service providers and injecting drug users (IDU). At the design stage the profile of this target group is unknown. As construction proceeds assessments of mobile populations will allow a more specific definition of the risk groups) within this population.

Target Group 4: Men 18-30 in communes directly affected by construction

Young men in communes affected by the construction are a target group for both HIV prevention and human trafficking prevention. This need is based on the potential for migration resulting from displacement due to resettlement and the operation of the new road.

Target Group 5: Construction workers

199. Male construction workers living within the camps along the construction route are a target group for HIV prevention. Factors such as loneliness and disconnection from community and

family, disposable income that can readily be used for sex, and the accessibility of sex workers, combine to create an environment where construction workers may engage in behaviours that place them at risk of exposure to HIV.

Program Objectives

200. The purpose of the HTAP is to mitigate the impact on HIV transmission and human trafficking associated with the construction of the project. The Program's objectives and expected outcomes are:

201. OBJECTIVE 1: To strengthen the capacity of institutional stakeholders to manage and implement HIV prevention and human trafficking prevention programs.

- Outcome 1.1: HTAP effectively managed in each Province.
- Outcome 1.2: IEC/BCC activities effectively implemented.

202. OBJECTIVE 2: To increase the adoption of HIV prevention practices amongst HAPP target groups.

- Outcome 2.1: Increased knowledge of HIV and prevention practices amongst target groups.
- Outcome 2.2: Increased application of key protective practices by target groups.

203. OBJECTIVE3: To reduce vulnerability to trafficking amongst HTAP target groups.

- Outcome 3.1: Increased knowledge of issues relating to safe migration amongst target groups.

Activity Components

204. These outcomes will be achieved through a program of activities implemented across four component areas:

Component 1: Capacity Strengthening of Institutional Stakeholders

205. Capacity strengthening is a cross cutting component of the HTAP. Its objectives are to strengthen capacity for both the management and implementation of the Program.

206. Activities to strengthen management capacity focus on ensuring that institutional stakeholders are resourced to effectively oversee and monitor the activities of the HTAP. Following loan approval, the roles and responsibilities of the provincial level stakeholders with respect to oversight of the HTAP program implementation will be detailed in consultation between the project PMU, Project Supervision Consultant and the provincial-level stakeholders and reflected in the finalized HTAP plan.

207. Activities to strengthen implementation capacity focus on providing partners from the district and commune levels with skills and knowledge to effectively design, plan and manage/deliver IEC and BCC activities both during the HTAP and after the Program's completion. Capacity strengthening is required to address a number of gaps. Implementing partners are likely to have varied and inconsistent understanding of approaches to HIV prevention. Individual knowledge may reflect stigma-based messages found in mass media. Knowledge around human trafficking issues is anticipated to be limited. Stakeholder's skills in implementing IEC activities are likely to reflect traditional communications methods such as one-way information provision and dissemination of written materials. Understanding of key steps in IEC campaign design and innovative communications approaches such as peer education are likely to be minimal.

Component 2: Advocacy:

208. A key requirement for behaviour change communication programs is an enabling environment that supports activity implementation. HIV prevention programs in particular are subject to a range of social, legal, and political sensitivities that serve as barriers to effective implementation. Advocacy can be used as a strategy to generate support for, and action by, key stakeholders to overcome these barriers and facilitate action. Key targets for advocacy under this program are entertainment establishments and construction contractors:

Component 3: Information Education and Communication (IEC) and Behaviour Change Communication (BCC)

209. Information education and communication (IEC) and behaviour change communication (BCC) are the foundation of prevention programming. Well-designed IEC/BCC is fundamental to creating the motivation and ability to make positive choices related to HIV prevention and informed choices relating to migration. IEC/BCC programming is carried out through a combination of channels and approaches tailored to the target audience. Under the HTAP, IEC/BCC will be delivered through two programs - peer education and community campaigns. Distribution of IEC materials and condoms will be incorporated into each program.

210. Peer education is a recognised approach for targeting IEC/BCC activities to specific population subgroups. Peer education involves recruiting 'peers' from within the target group to deliver IEC/BCC. The underlying premise is that peers have access to the target audience, credibility within this target group, and an understanding of the social and cultural norms of the group. Peer education will be used to access all four target groups, including marginalized subgroups that may not be reached by conventional IEC programs (e.g. female sex workers, mobile populations).

211. Community campaigns will be used to reach the more accessible target groups in the communes affected by construction activities (women 18-40 and men 18-30). Under the campaigns IEC/BCC will be carried out using a combination of channels and approaches tailored to the two separate target audiences.

212. IEC materials will be reproduced under the HTAP for use in the peer education program and community campaigns. IEC materials help to achieve communication coverage. Materials are used to reinforce advocacy or interpersonal communication. Access to IEC materials increases the confidence and perceived authority of individuals delivering communications activities (e.g. peer educators).

213. Distributing condoms concurrently with IEC activities can facilitate the adoption of condom use as a protective practice. Consistent correct use of good quality, male latex condoms is the most effective way to decrease the risk of HIV and other STIs during sexual intercourse. Budget limitations of the HTAP prevent the implementation of a condom social marketing program. The budget does allow for limited procurement of male condoms for distribution amongst high risk target groups in combination with BCC activities.

Component 4: Monitoring and evaluation

214. The monitoring and evaluation framework for the HTAP is attached in Annex 3. The framework sets out the indicators for assessing Program progress at the output, outcome, and impact level. The framework also identifies key assumptions and risks.

215. Output level M&E focuses on assessing the deliverables from each activity area. Examples of outputs to be measured include: number of program implementers trained; number of people reached through IEC/BCC activities; numbers of materials and condoms distributed.

216. Outcome level M&E will focus on assessing the change in knowledge and practice of each of the target groups as a result of the activities implemented. Outcome indicators for the HAPP have been drawn from the relevant sections of the Government of Viet Nam's National HIV/AIDS Monitoring Framework. Outcome indicators for the HTPP have been developed in consultation with the resettlement specialist. Progress to achieving outcomes will be measured through baseline and endline surveys.

IMPLEMENTATION ARRANGEMENTS

217. The HTAP is designed to be implemented by local Government agencies and mass organizations that have mandated roles in HIV and human trafficking prevention with support from a contracted service provider. The implementation approach is intended to facilitate more effective coordination of HTAP activities with existing government implemented programs. The approach is also intended to contribute to building capacity of Government implementing agencies to sustain implementation of HIV and human trafficking prevention activities following completion of the HTAP.

Project Management Unit/ Project Supervision Consultant

218. The Project Management Unit and PSC International and National Specialists have overall responsibility for the management and technical quality of the HTAP. Specific responsibilities include:

- Preparation of a final HTAP technical design in consultation with Provincial Peoples Committees that is compliant with the relevant National Strategies and Laws of the Government of Viet Nam;
- Preparation and submission of plans, budgets and reports as required by the Ministry of Transport and ADB;
- Provide management support to the HTAP Steering Committees in the development of Program workplans, budgets, and reports;
- Implement program mobilisation and capacity building activities, including sourcing an appropriate service provider to serve as technical consultants for the design and delivery of these activities;
- Technical coordination of Program monitoring activities including the baseline survey, mid-term review, and final evaluation, in collaboration with the HTAP Steering Committees and Service Provider.

HTAP Steering Committee

219. The HTAP institutional framework envisages provincial-level steering committees of key institutional stakeholders with mandated roles in HIV and human trafficking prevention. Following project loan approval, the PSC will assist the PMU and key provincial stakeholders to finalize the coordination and oversight mechanism at the provincial level for each province in the project areas.

220. Proposed specific responsibilities include:

- Coordinate activities under this HTAP with those of existing Government programs within the province to maximize synergies and avoid activity duplication;
- Monitor and provide technical oversight to activities implemented under the HTAP to assure quality in implementation.
- Provide leadership and facilitate collaboration between the key stakeholders and the Service Provider to foster support for the implementation of the HTAP;

District and Commune Implementing Partners

221. Implementing partners are staff of the District Preventive Medicine Centre, District Women's Union, and District Youth Union, and their counterparts from the target communes and towns. District implementing partners are accountable to the Steering Committee through existing line management arrangements with their Provincial line department.

222. Implementing partners are responsible for the field level planning and implementation of IEC/BCC³ activities implemented under the HTAP. District and commune level implementing partners are the primary recipients for capacity building activities. Implementing partners will be supported in their roles by Provincial level line management agencies, a contracted service provider and the PSC International and National Specialists.

HTAP Service Provider

223. A service provider, such as a national consulting entity or NGO with expertise in the area of community development, HIV and human trafficking prevention, will be contracted by the PMU to provide capacity building interventions and support the delivery of public awareness training to communities in the project areas as well as contractors. It will comprise of a program manager, 1 community development specialist with expertise in human trafficking and 1 community development specialist with expertise in HIV mitigation.

224. The Service provider will work under the direction of the PMU and Project Supervision Consultant.

225. The Service provider will implement various activities within the HTAP Program, including the following key tasks.

- Capacity building training to District and Commune level Women's Union, Youth Union and Peer Educators
- Coordinate program development and activities with DOLISA, DOH and Provincial AIDS Centre, Women's Union and Youth Union.
- Liaise and coordinate with PCs as required
- Oversee awareness training delivery at the community level.
- Design and produce IEC materials.
- Procure and distribute medical packages.
- Provide HIV awareness training to contractors on regular basis. Provide support to Women's Union, Youth Union to conduct awareness training to local communities in the project areas.
- Undertake regular monitoring as well as baseline, mid-term review and final evaluation. Provide regular progress reports.

³ IEC= Information, Education and Communication (e.g. information material); BCC=Behaviour Change Communication

Indicative Institutional Framework

AGENCY	ROLE IN HTAP	ON-GOING ROLE
Service Provider	Consulting entity or NGO contracted by the project. Responsible to PMU and Project Supervision Consultant. Provides regular progress reports. Provides training to and coordinates with provincial and district stakeholders. Trains and supports peer educators. Coordinates with contractors and provides awareness training to construction workers. Leads conduct of baseline survey, mid-term review and evaluation and produces associated reports.	For program only.
Provincial AIDS Centre (PAC) -representing Department of Health (DOH)	Overall coordination on HIV aspects of the project with respect to district and commune health centres;	HIV surveillance and prevention
Department of Transport (DOT)	Supports the DOH/PAC in project implementation.	Represents the PPC at the provincial level for project implementation.
Department of Labour, War Invalids & Social Affairs (DOLISA)	Monitoring and advocacy covering working conditions related to construction with respect to women and children; Support HTAP activities through their regular mandated programs.	Poverty alleviation and addressing social problems; Together with WU is a lead agency in human trafficking prevention and providing support to victims.
Department of Culture & Information	Support IEC activities, including facilitating approval; Technical liaison agency for communications events for HIV awareness programs.	Promotion of culture, civic responsibility and approval of public media.
Women's Union (WU)	Serve as peer educators, for both HAPP and HTPP; Conduct women's meetings in targeted communities.	The WU and DOLISA are lead agencies in human trafficking prevention and providing support to trafficking victims
Youth Union (YU)	Serve as peer educators for both HAPP and HTPP; Conduct young adult workshops in targeted communities.	Promotion of interests, positive values and civic responsibility amongst youth
PMU/PSC	HTAP design and overall management at the Program level; Financial control; Technical coordination of capacity building and M&E activities; Observer in HTAP Steering Committee.	Program design. technical input, and implementation oversight
Construction Contractors	Implement HIV prevention programs their employees; Observer in HTAP Steering Committee.	

Activity Description

COMPONENT ONE – CAPACITY STRENGTHENING OF INSTITUTIONAL STAKEHOLDERS

Activity Area 1: Inception Workshop

226. **Activity Description:** A one day inception workshop will be held in each province. The workshop provides a forum for the official opening of, and orientation to, the HTAP. The workshop will target Provincial level stakeholders/Steering Committee members; District level implementing partners. Key content of the workshop includes:

- program implementation arrangements;
- administrative, financial and reporting requirements;
- a detailed overview of Program activities and monitoring and evaluation arrangements;
- a mapping exercise of partner's current programs and capacities.

Activity Area 2: Training Program for Implementing Partners

227. **Activity Description:** Training for district and commune implementing staff will focus on building capacity to design, plan and manage/deliver the peer education program and community campaigns under Component 3 of the HTAP. Workshops will be designed and facilitated by the service provider with technical oversight from the PSC International and National Specialists. Target groups are District and commune level partners from Health, Women's Union and Youth Union responsible for field management and implementation of HTAP IEC/BCC activities (including peer educators from the Women's Union and Youth Union).

228. The first objective of the training is to increase participant's knowledge on social and technical issues relating to HIV and human trafficking, including approaches to prevention. Key content will include:

- an overview of HIV epidemiology in Vietnam and in the Program provinces and districts;
- an overview of the links between construction projects and HIV;
- community based approaches for HIV prevention;
- an overview of human trafficking and links to construction projects;
- basic facts on migration risks and rights;
- IEC approaches and methods, including peer education.

229. The second objective of the training is to develop participant's practical skills for planning, designing and implementing IEC/BCC campaigns. Activities under this component of the workshop will focus on practical skill development including:

- target group identification;
- message prioritization;
- channel/approach selection;
- campaign planning;
- communications techniques e.g. two-way communication, group discussion;

230. Participants in the Year 1 training will be required to develop an implementation plan for the peer education and community campaigns that they will manage and implement under the HAPP/HTTP Program in Year 1. Plans will detail the target group; key messages;

channel/approach; and the specific implementations arrangements (timing, resources/materials, person(s) responsible)

231. At the commencement of Year 2 a two-day refresher training will be held for district and commune partners. The training will be tailored to address challenges encountered in the implementation of Year1 activities. The training will again focus on both knowledge and skill development. Participants in the refresher training will be required to develop a detailed implementation plan for the peer education and community campaigns that they will manage and implement under the HAPP/HTTP Program in Years 2 and 3.

COMPONENT TWO - ADVOCACY

Activity Area 1: Advocacy with entertainment establishments

232. If HIV programs are to be targeted, rather than aimed at the general public, then interventions must be implemented in locations where risk groups are found and risk behaviours are likely to occur. Entertainment establishments⁴ are recognized as venues at which sexual contacts are made and/or at which sexual activity occurs. Implementing activities such as IEC, condom distribution and peer education requires the consent and support of venue operators. A range of social, legal, and political sensitivities may serve as barriers to gaining this support.

233. Establishing an advocacy program on HIV/AIDS with entertainment establishments is the responsibility of the HTAP Steering Committee in each Province. Steering Committees will identify the appropriate agency(s) to lead this advocacy work, possibly at the district level. Indicative activities under this component include:

- a venue mapping exercise to be undertaken as a part of the baseline survey;
- a program of information provision and engagement with venue operators to foster support for collaboration on the HTAP;
- supply of IEC materials;
- building links between entertainment establishments and existing condom social marketing (CSM) programs. Due to resource constraints, it is not feasible to implement CSM as an activity under the HTAP. If a CSM program is initiated by another project in either province during the HTAP implementation period, then efforts will be made to link to this program.

Activity Area 2: Advocacy with construction contractors

234. Each construction contractor is required to implement an HIV prevention program that:

- provides HIV/AIDS IEC campaigns via an approved service provider;
- undertakes other measures as specified in the Contract to reduce the risk of transmission of HIV between the contractor's personnel and within the local community;
- promotes early diagnosis of STI/HIV;
- assists affected individuals.

235. The efficacy of each of these measures will be determined, in part, by the degree of internal company support for the HIV prevention program. The more the program is integrated

⁴ Entertainment establishments are defined as venues where men go to relax and at which contacts for sex can be made and/or where sex can take place. They include karaoke, small beer shops, hairdressing and massage shops, and guesthouses and hotels.

within company structures, the more workers are likely to perceive the program as being associated with valued employment, and the more effective it is likely to be. Advocacy with company management is required to move the program beyond 'token' measures to a set of integrated and functional interventions that is coordinated with initiatives implemented under this HTAP.

236. The PMU and PSC are responsible for ensuring the full commitment of, and cooperation by, construction companies in implementing an HIV prevention program at the worksites as part of their contracted obligations. The service provider will provide ongoing technical support to the contractor. Indicative activities include:

- a program of direct engagement with construction company managers to support the development, implementation and monitoring of each company's internal HIV prevention program;
- involvement of construction companies as observers in Steering Committee meetings to raise awareness of construction company managers of the wider HTAP activities;
- a service mapping exercise undertaken by the PSC Specialists in collaboration with PAC to identify testing and counseling referral services available to construction personnel.

COMPONENT THREE - INFORMATION EDUCATION AND COMMUNICATION (IEC) AND BEHAVIOUR CHANGE COMMUNICATION (BCC)

Activity Area 1: Peer Education Program

237. The peer education program will be implemented in all five target districts. Each program will have the following activity components:

- recruitment of peer educators (PE);
- training for peer educators;
- supervision and support to peer educator networks;
- implementation of peer education activities.

238. **Recruitment of peer educators:** The peer education program will be designed to reach four target groups:

- women aged 18-40 in communes directly affected by construction;
- men 18-30 in communes directly affected by construction;
- mobile populations.
- Female entertainment workers

239. Peer educators will be selected from the Women's Union and Youth Union and trained under the capacity building program described in Component 1 (Activity Area 3). Once operational this network will conduct peer education on HIV and human trafficking with their respective communities with priority to women 18-40 and men 18-30 from target communes as well as other high-risk groups.

240. **Trainings:** Trainings will be provided to each network of peer educators prior to mobilisation. Refresher training will be provided for each network after 6-8 months of operation. The training format, approach and content will be tailored to the characteristics and requirements of each network. The Women's Union/Youth Union network will be trained under

the capacity building program described in Component 1 (Activity Area 3). Peer educators will be provided with peer educator kits containing flip charts, IEC materials, and condoms.

241. Supervision and Support: Peer educator networks will be supported through two-monthly network meetings. The purpose of these meetings is to foster support links within the network, review activity implementation, discuss issues and challenges, refresh on information and skills needs, and plan upcoming activities. Support meetings for the Women's Union/Youth Union network will be facilitated by the District Women's Union/Youth Union. Support meetings for the female sex worker and mobile populations networks will be planned in consultation with network members as part of the start-up training. The service provider will be used for this support role.

Activity Area 2: Community Campaigns

242. Detailed implementation plans for community campaigns will be developed for each target commune/town as an output of the training workshop in year one and the refresher training in year two (see Component 1, Activity Area 3). Activities developed under the plan will be tailored to the information needs of each target group as identified through the baseline survey. Consistent with communications best practice activities will:

- be target group specific;
- focus on the delivery a limited number of key messages covering both HIV prevention and safe migration;
- comprise a range of channels and approaches including small group discussions, video nights, quiz competitions, mass communications, and training sessions.

Community campaigns will be scheduled for periodic implementation in the target communes/towns during Years 1, 2 and 3 of the HTAP.

Activity Area 3: HIV prevention program with construction workers

243. Construction contractors are required to implement an HIV prevention program for their workforce. The service provider contracted for the HTAP will provide HIV awareness training for construction workers.

Activity Area 4: IEC Material Distribution

244. A comprehensive range of IEC materials are available in Viet Nam. This includes materials developed by government agencies, international and local NGO's, specialist organisations (for example the International Organisation for Migration), and other ADB infrastructure projects. The PSC International and National Specialist will identify relevant HIV Prevention and Human Trafficking/Safe Migration materials currently available. Other materials may be developed appropriate to local needs as identified during program implementation. Materials will be selected for reproduction in consultation with the Steering Committee. Materials may be field tested prior to selection to ascertain appropriateness.

Activity Area 5: Condom Distribution

245. Budget limitations of the HAPP prevent the implementation of a condom social marketing program, but do allow for limited procurement of condoms. Condom distribution will focus on supply to female sex workers and appropriate sub groups of mobile populations. Distribution will be through peer educators.

246. As part of the advocacy program with entertainment establishments the supply of condoms may be undertaken as a limited activity in combination with the display of IEC materials promoting condom use in these venues.

247. Condom distribution to construction workers will be the responsibility of the construction contractor under the company's own HIV prevention program.

COMPONENT FOUR – MONITORING AND EVALUATION

Activity Area 1: Baseline Survey

248. The baseline survey will be designed to elicit information from the four HTAP target groups. Given the diversity in these groups separate methodologies will be applied for each. The implementation timeframe for the baseline may be staggered based on ability to access the study populations. For example, the survey with women aged 18-40 and men aged 18-30 in communes affected by the construction can commence at Program start up. The survey targeting female sex workers and mobile populations may commence following the recruitment of peer educators from these target groups. The methodologies for each target group are detailed below.

- Baseline data for the Construction Worker target group will be obtained from baseline surveys conducted by the service providers contracted by Construction Companies to deliver the workplace HIV prevention programs.
- Women aged 18-40 and men aged 18-30 in communes affected by the construction
- A Knowledge Attitude and Practice (KAP) survey will be implemented with this target group to assess baseline knowledge on HIV and safe migration. The survey tool will be informed by existing surveys. The National HIV/AIDS Monitoring Framework⁵ provides sample questions for key indicators of HIV knowledge and practice that will be integrated into the survey design.

249. To maximize efficiency cluster sampling will be used to select communes for survey implementation. Within the communes, respondents from the target group will be selected using systematic sampling. Commune Peoples Committee records will be used as the sampling frame. Sample size calculation will be conducted as part of the survey design. The estimated sample size for this survey is 400-500 respondents.

Activity Area 2: Mid Term Review

250. The mid-term review will be conducted by the HTAP Steering Committees in collaboration with the service provider, PMU and the PSC International and National Specialists. The mid-term review will focus on process evaluation. The review will assess implementation arrangements, technical quality of activity implementation and progress against the design. The review methodology will combine:

- a review of program documents including the design document, activity reports and workplans, technical materials produced (e.g. training materials, IEC/BCC materials), and budget and financial reports;
- key informant interviews with management and implementation stakeholders from provincial, district and commune levels;
- a review feedback workshop.

⁵ *National Monitoring and Evaluation Framework for HIV Prevention and Control Programs*, Ministry of Health, Viet Nam, 2007

251. Findings from the review will be used to inform revisions to the activity design and implementation arrangements.

Activity Area 3: Final Evaluation

252. The purpose of the final evaluation is to assess outcomes and impact of the HTAP and to document lessons to inform future programming. The three components of the final evaluation are outlined below.

253. **Endline KAP survey with each target group:** An endline KAP survey will be conducted with each of the target groups surveyed at baseline. The purpose of the endline survey is to assess changes in knowledge and practice during the period of the intervention. Findings will be used to assess the achievements of the HTAP against the expected outcomes. The methodology for the endline survey will replicate that implemented for the baseline survey.

254. **Qualitative assessment with key informants:** Qualitative data will complement the quantitative data elicited through the KAP survey. Qualitative data will be collected to document the strengths, weaknesses and lessons of the Program. Respondents will include members of the HTAP target groups, peer educators, and implementing partners. Methodologies will include key informant interview and focus group discussions.

255. **Collection and analysis of secondary impact data:** Program impact will be assessed through analysis of secondary data collected by Government Departments. This includes epidemiological data on STI and HIV collected by District and Provincial Health Departments and socio-economic data collected by DOLISA and the Women's Union.

Participants and Beneficiaries

	KEY ACTIVITIES	BENEFICIARIES/PARTICIPANTS
1	Component One: Capacity	Strengthening of Institutional Stakeholders
1.1	Provincial HTAP Stakeholders	In each of Yen Bai, Lao Cai and Lai Chau Provinces: Provincial AIDS Centre; Department of Transport, Department of Labour, War Invalids & Social Affairs; Department of Culture & Information; Provincial Women's Union and Provincial Youth Union
1.2	Inception Workshop	In each of Yen Bai, Lao Cai and Lai Chau Provinces: Provincial AIDS Centre; Department of Transport, Department of Labour, War Invalids & Social Affairs; Department of Culture & Information; Provincial Women's Union and Provincial Youth Union
1.3	Training Program for Implementing Partners	Tam Duong, Tan Uyen, Than Uyen Districts (Lai Chau Prov): [13 communes/towns] 3 District Preventive Medicine Centre; 3 District Women's Union; 3 District Youth Union; 13 Commune Health; 13 Commune Women's Union; 39 Women's Union/Youth Union peer educators. Bao Yen, Van Ban Districts (Lao Cai Prov): [12 communes/towns] 2 District Preventive Medicine Centre; 2 District Women's Union; 2 District Youth Union; 12 Commune Health; 12 Commune Women's Union; 36 Women's Union/Youth Union peer educators. Van Chan, Van Yen Districts (Yen Bai Prov): [9 communes/towns] 2 District Preventive Medicine Centre; 2 District Women's Union; 2 District Youth Union; 9 Commune Health; 9 Commune Women's Union; 27 Women's Union/Youth Union peer educators.
2	Component Two: Advocacy	
2.1	Advocacy with entertainment establishments	Entertainment establishments in the five target districts (these establishments will be identified under the venue mapping exercise)
2.2	Advocacy with construction contractors	Construction contractors for each construction package
3	Component Three: Information Education and Communication (IEC) and Behaviour Change Communication (BCC)	
3.1	Peer Education Program	Tam Duong, Tan Uyen, Than Uyen Districts (Lai Chau Prov) <ul style="list-style-type: none"> 39 peer educators from the Women's Union and Youth Union targeting women 18-40 and men 18-30 Bao Yen, Van Ban Districts (Lao Cai Prov): <ul style="list-style-type: none"> 36 peer educators from the Women's Union and Youth Union targeting women 18-40 and men 18-30 Van Chan, Van Yen Districts (Yen Bai Prov): <ul style="list-style-type: none"> 27 peer educators from the Women's Union and Youth Union targeting women 18-40 and men 18-30

	KEY ACTIVITIES	BENEFICIARIES/PARTICIPANTS
		* The precise number and allocation of the peer educators will be finalized during implementation based on risk assessment.
3.2	Community Campaigns	34 target communes/towns will each have 7 community campaigns each.
3.3	HIV prevention program with construction workers	HIV prevention programs for construction workers under each construction package coordinated with this HTAP and monitoring data collected.
3.4	IEC Material Distribution	Construction workers, Female sex workers; Mobile populations; Women 18-40 living in 34 communes/towns directly affected by the construction, with a priority focus on women from resettled households; Men 18-30 in 34 communes/towns directly affected by the construction.
3.5	Condom Distribution	Construction workers, Female sex workers; Relevant sub groups of mobile populations; Entertainment establishments.
4	Component Four: Monitoring and Evaluation	
4.1	Baseline Survey	<ul style="list-style-type: none"> 500 respondents from the women 18-40 and men 18-30 target groups in sampled from the 34 affected communes/towns Construction workers across the construction packages Entertainment establishments in the vicinity of the 34 target communes and towns
4.2	Mid tern Review	<ul style="list-style-type: none"> Steering Committee members and program implementers from the district and commune levels.
4.3	Final Evaluation	<ul style="list-style-type: none"> 500 respondents from the women 18-40 and men 18-30 target groups in sampled from the 34 affected communes/towns Construction workers across the construction packages Entertainment establishments in the vicinity of the 34 target communes and towns Qualitative assessments with a sample from program implementers (including peer educators and beneficiary groups (numbers to be determined during evaluation design)

Summary Budget

256. The total budget for the HTAP is estimated at USD541,092. A summary budget for the HTAP is presented below.

Summary Cost Estimate for the HTAP Program

	ITEM	COST ESTIMATION			
		1st year	2nd year	3rd year	Total
I	Cost Estimation for Service Provider				
	Total Service Provider	86,130	86,130	86,130	258,390
II	Direct Service Delivery Costs				
1	Inception Workshops in 3 Provinces	3,307	-	-	3,307
2	Training course for training of trainer for 28 officials from 7 Districts.	1,386	1,386	1,386	4,159
3	Condom and syringes distribution	13,636	13,636	13,636	40,909
4	Cost for Designing, printing and distributing media materials	15,873	-	-	15,873
5	Training for peer educators	3,496	3,496	3,496	10,489
6	Training for Commune Women's Union	7,764	7,764	7,764	23,291
7	Travel and Meal Allowance for Commune Women's Union and Peer Educators to Conduct Outreach	27,818	27,818	27,818	83,455
8	Tea and snacks for community meetings	1,855	1,855	1,855	5,564
	Total Direct Service Delivery Costs	75,135	55,955	55,955	187,046
III	Monitoring and Evaluation Costs				
1	Baseline survey	10,647	-	-	10,647
2	Mid-term evaluation of the Program implementation		2,523		2,523
3	Final evaluation	-	-	10,647	10,647
	Total Monitoring and Evaluation	10,647	2,523	10,647	23,817
	TOTAL(I+II+III)	171,912	145,870	152,733	470,514
IV	Contingency (15%)	25,787	21,880	22,910	70,577
	GRAND TOTAL	197,699	167,750	175,643	541,092

(Refer to HTAP document for detailed budget estimates.

Appendix 2: Description of the Livelihood Development Program

257. The Livelihood Development Program (LDP) is an activity under the Resettlement Plan. Its objectives are to assist households affected by land acquisition to restore their income generating capacity as well as to assist vulnerable households affected by land acquisition to improve their living standards.

258. All ethnic minority households affected by land acquisition will be eligible to participate in the program. If they have additional aspects of vulnerability such as being severely affected or being poor they will receive additional levels of entitlement under the program.

259. The program's main activities will be to diversify farming livelihoods through establishment of model farms as well as provide training. The benefits of the program through improving farming techniques in the community are expected to indirectly benefit in a meaningful way others in the targeted communities who are not affected by land acquisition.

260. This section provides a brief description of the approach of the program.

Livelihood Development Program Approach

261. The approach of the LDP strategy is to utilize and build on existing capacities and programs as well as AP resources. The LDP will complement existing services with supplementary support along with capacity and institutional strengthening to focus efforts on meeting the project objectives. The main elements of the livelihood development strategy are:

- **Consultation, information dissemination and needs assessment.** APs will be provided detailed information on the LDP from early in the preparatory stages of the detailed LDP and will be consulted on preferences and LDP design. Information dissemination will include counselling on effective use of compensation and assistance money, the requirement for AH contribution, ongoing programs as well as benefits, challenges and risks of various livelihood options. A detailed needs assessment of eligible APs will inform the design of the detailed LDP.
- **The LDP will consist of training, model development, ongoing mentoring and monitoring combined with AP contributions.** Where appropriate, support will be provided to enable APs to organize and collaborate. Priority will be for training to be provided in local communities and be suited to local conditions and likelihood of success. APs will also be able to avail of vocational training in existing training centres in lieu of locally based training if they prefer this. Training in non-agricultural vocational skills should be based on a realistic understanding of where and how to make a living from the skill. Training in rural livelihoods will incorporate use of models – either existing in the local area or newly developed. The LDP will provide support to models to promote their effectiveness and sustainability. Model owners will be incorporated in the training and mentoring regime of the LDP to promote sustainability of training outcomes. Training will include modules on financial management.
- **Livelihood development activities will be delivered through DOLISA and DARD.** These organizations have existing ongoing programs in the project areas as well as an ongoing presence. Both are experienced in providing outreach training programs and establishment of models. DARD has permanent extension services which extend to the commune level. DOLISA and DARD will take the lead in establishing an effective LDP management and coordination structure at the provincial and district levels. It is expected that DOLISA will be the lead agency.

- The LDP will **incorporate capacity building** and arrangements **for ongoing support** such as mentoring and monitoring for locally-based training programs, such as from model owners and local extension cadre.

Participation Eligibility Approach

262. Eligibility to participate in the LDP is based on an incremental needs-based approach. Entitlement factors are being: (i) severely affected; (ii) ethnic minority; and (iii) being a vulnerable household. An affected household would accrue a LDP participation entitlement for each factor. For example, a household that is severely affected but not vulnerable would accrue one participation entitlement. An affected ethnic minority household would accrue one entitlement. However, a household that is both severely affected and vulnerable would accrue two participation entitlements. In this way, locations and households with greatest impacts and needs would receive more benefit.

263. A preliminary assessment of severely affected and vulnerable households was undertaken as part of preparing the draft resettlement plan through the IOL. Out of a total of 277 affected households, 188 households were estimated as eligible for LDP assistance including 179 ethnic minority households. However, at this stage this number is indicative and will be assessed in more detail, including assessment of vulnerability and need for livelihood assistance and updated during the updating of the resettlement plan. The indicative numbers of severely affected and vulnerable households who would be eligible to participate in the LDP are presented below.

Preparation of the Detailed LDP and Implementation Arrangements

264. Actions required to prepare and implement the detailed LDP are set out below.

Preparation of Detailed LDP

265. During updating of the resettlement plan the following tasks will be undertaken to prepare the detailed LDP.

- Capacity building and institutional strengthening of agencies responsible for LDP detailed design and implementation.
 - ü Confirm institutional arrangements: PMU with support of PSC will work together with PPC and DPCs and relevant agencies to reassess and confirm participation and roles and responsibilities of participating agencies/organizations. Decide management, coordination and reporting mechanisms, including financial management and accountabilities. Management and coordination mechanisms are expected to include a provincial-level LDP Steering Committee (LDPSC) and district-level LDP Management Board (LDPMB). Upon confirming the management and implementation structure the PPC will issue a decision establishing the LDPSC (or similar) and the respective DPCs will issue decisions establishing the LDPMBs (or similar). DOLISA and DARD as key service providers are expected to be lead agencies.
 - ü Undertake capacity training and planning: Training will cover LDP planning, design and implementation arrangements including (i) participation eligibility; (ii) undertaking needs assessment; (iii) model and training design and selection; (iv) budget planning, design and LDP financial management; (v) consultation and community development issues relevant to LDP implementation; (v) monitoring, review and evaluation. Training and planning will be undertaken first at the provincial level structure and will be undertaken by PMU (with support of Project Supervision Consultants) and lead agencies, followed by training at the district level structures.

- Consultations and needs assessment. Information will be provided to all affected households on the project's livelihood development strategy and eligibility criteria through public consultations as part of the consultation and disclosure processes during the preparation of the updated resettlement plan. Following the detailed measurement survey, eligible households will be consulted on needs and preferences for livelihood development assistance and be provided. These consultations will also include information on current available areas of training and support; discussions on additional options and forms of support required to enable them to improve their livelihoods; and expectations of beneficiary contribution. The consultations and needs assessments will include various methods, including presentations of existing programs and proposed activities along with focus group discussions (of those with similar profiles), key informant interviews and broader consultations with larger groups. The consultation process will ensure the inclusion of women as well as men and vulnerable groups. The consultations will be undertaken principally by the LDPMB with support of PMU and PSC as well as other resource persons as invited by the LDPMB.
- Prepare detailed LDP document. The LDP document will be prepared by LDPSC and LDPMBs in consultation with PMU and PSC. Design of the detailed LDP will be based on an iterative process of assessing the needs and preferences of eligible affected persons, available resources of existing service providers (human resources/skills, programs and delivery mechanism), resources of eligible affected persons (land, existing skills, financial capital), and gaps that need to be filled through additional resources/support from the project. The LDP document will contain the following elements: (i) eligibility requirements; (ii) details of available programs and training; (iii) contribution requirements from trainees; (iv) management and delivery arrangements; (v) indicative implementation schedule; (vi) budget estimate and financial management arrangements; and (v) monitoring, review and evaluation arrangements. The draft LDP document will be presented to affected households for discussion and comment. The detailed LDP document will be submitted to the PPC and DPCs for review and approval. It will form part of the updated RP which in turn will be endorsed by PPC and MOT and submitted to ADB for concurrence.

Implementation Arrangements

266. Following approval of the updated resettlement plan, the following tasks are undertaken to implement the LDP.

- Sign LDP implementation contracts. Once the LDP is agreed on by ADB and, PMU (through the working group) prepares the LDP implementation contract that will be signed by Provincial LDPSC.
- Open bank account at the State provincial/district treasuries. The established provincial LDPSC opens a bank account that will be used to receive management and administration costs.
- Finalize the LDP document. The LDP document is updated and finalized based on detailed information of participant registrations and detailed budget of implementation. The LDP document will be prepared by LDPSC and LDPMBs in consultation with PMU and PSC and submitted for approval following these key steps:
 - ü Households register for the LDP. LDPMB ensures that all interested eligible AHs officially register for participation in the LDP. The registration gives AHs the chance to change the livelihood development activity preference they had previously expressed interest in during preparation of the LDP.
 - ü Finalize detailed budget based on training registrations as well as costings of training programs, models, material support, and other implementation costs (including administration).

- ü Submit the finalized detailed LDP to PPC for review and approval and to ADB for review and concurrence.
- Contract local service providers to provide LDP materials and support.
- Organize trainings for participating households
- Verify preparation and contributions of households for livelihood development activities
- Hand-over of LDP support and materials
- Monitoring, review and evaluation.
 - ü Monitoring: Primary responsibility for monitoring and review of the LDP implementation rests with the LDPSC and LDPMBs. The project will conduct internal and external monitoring of resettlement plan implementation, including the LDP. Internal monitoring will be conducted on an ongoing basis by PMU with support of the PSC. External monitoring will be conducted by qualified external experts engaged by the project on an intermittent basis.
 - ü Review: The appropriateness and effectiveness of the LDP design and implementation will be reviewed at critical milestones that will be specified in the detailed LDP document. Proposed milestones include completion of model establishment, application of skills after initial rounds of training and other critical points that will be determined during detailed LDP preparation. Reviews of LDP design and effectiveness will enable adjustments as/if required to enhance the success of the program.
 - ü Evaluation: Baseline data of participating households' income sources and livelihood practices, income levels (which may include proxy indicators) will be collected at the commencement of the LDP. At the completion of the LDP, evaluation against indicators set at the commencement of the LDP and against the baseline data will be conducted to assess the effectiveness of the LDP and produce lessons learned. The lessons learned are aimed at assisting the Province, PMU and other agencies in future similar programs.

Preliminary Model Options

267. DOLISA and DARD Extension Centre have various options for models based local conditions and successful previous experience. Detailed assessment of model options will be conducted during the preparation of the detailed LDP.

Sample Models and Associated Establishment Costs

Model	Approximate establishment cost (million VND)
Swine raising	300
Duck raising	400
Fruit tree model (2ha)	120
High yield rice cultivation	200
New horticulture techniques	100
Clean vegetable production. 'Clean vegetable' cultivation is production of vegetables with safe standards of chemicals and minimal biological risks. Production requires organization of participants in cooperative groups, purchase of equipment for packaging and adherence to certification standards. Certification is provided by DARD. There are existing models in the northwest region and a ready market for produce in metropolitan areas.	200

Estimated LDP Budget

268. The estimated direct costs of the LDP is VND 5.256.000.000, including costs for model establishment, training, project material inputs. Contingency and administration costs are incorporated in the total estimated resettlement plan budget.

ITEM	UNIT	# UNITS	AVE COST	TOTAL (VND)
Model establishment*	model	10	300,000,000	3,000,000,000
Livelihood training*	person	188	10,000,000	1,880,000,000
Material inputs for trainees (project contribution)	person	188	2,000,000	376,000,000
Total Direct Costs				5,256,000,000

* For planning purposes, an indicative number of models is estimated. The final locations and types will be determined during resettlement plan updating. Livelihood training, covers the costs for DARD/DOLISA to provide the training program.

Appendix 3: Record of Public Consultations

269. The following section provides an outline of information presented in the first round of public consultation meetings.

CONSULTATION ON SOCIETY, THE ENVIRONMENT, COMPENSATION, SUPPORT AND RESETTLEMENT POLICIES FOR LAND-AFFECTED HOUSEHOLDS FOR THE PROJECT

CONTENTS

1. Introduction to the Project
2. Introduction to compensation, support and resettlement policies/plans;
3. Introduction to environmental issues and mitigation measures of the project
4. Community consultation on:
 - § Community feedback about the project;
 - § Resettlement plan;
 - § Income restoration program.
 - § Environmental management plan and mitigation measures
 - § Complaints mechanism of the project related to socio-economic issues

PURPOSE OF THE CONSULTATION

- Introduce the project.
- Collect comments on compensation, support and resettlement policies, resettlement options, compensation and support policies, economic recovery policy, other issues as a basis for planning resettlement and income restoration after resettlement, environmental protection policy of the Government of Vietnam and the ADB.
- Collect comments on the environmental issues related to the project in phases and the proposed mitigation measures
- Introduce complaints mechanism and monitoring the implementation of compensation, support, resettlement and the environment

The objective of the project

- Connect the provinces with the NB-LC highway;
- Promote economic development;
- Provide climate resilience infrastructure;
- Ensure that people can access and use the route for all four seasons;

270. Information on project design features and alignment presented.

POLICY FRAMEWORK

271. Based on the principle of harmonization between the legal framework of the Vietnamese government, Lai Chau province and the ADB's policy;

General principles to be applied:

- There is a plan to minimize the impact of land acquisition.
- Compensation for affected land and assets at replacement cost, market price.
- Do not deduct assets that the affected households can re-use.
- Support for affected households to at least re-establish their lives as before their land is withdrawn or better.

- Arrange the resettlement site near the previous residence as possible.

272. Compensation, support and resettlement policy of the Government of Vietnam presented.

273. ADB policy requirements presented

POLICY FRAMEWORK OF THE REMDF

The objective of the Policy Framework

- to avoid involuntary resettlement wherever possible;
- to minimize involuntary resettlement by exploring project and design alternatives;
- to enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to the pre-project levels; and
- to improve the standards of living of the displaced poor and other vulnerable groups.

274. Ethnic Minority:

- To ensure full respect for identity, values, human rights, livelihood systems, and cultural uniqueness whereby minority people are identified when projects are designed and implemented, and
- Minority people would receive social and economic benefits that are appropriate to their culture, are not adversely affected by the project, and can actively participate in the project.

275. Principles of compensation, support and resettlement in policy framework presented

Grievance and grievance redress

- The complainant submits a complaint. Formal or verbal
- The person who receives complaint must file the complaint, (if verbal complaints); and transfer them to appropriate authorities
- When complaints are received, individuals or authorities have to investigate and verify the facts about complaints and grievance.
- The complaint-settling agency shall reply in writing and publicly post the result of complaint settlement
- Complainants who are unhappy with the settlement results may continue to file a complaint to a higher level or bring their complaint to court (grievance).

Income Restoration

- Economic recovery for severely affected households includes:
 - Severely affected households (loss of 10% of productive land or 10% of income from business establishments);
 - Poor households
- Forms:
 - Development of land-based livelihood models;
 - Development of non-agricultural livelihood activities
 - Participation in vocational training or technical support classes
 - Employment introduction
 - Access to loans support

Table 9-1: Summary of Public Consultation Results

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			Total	Male	Fe- male		
Lao Cai Province							
1. Minh Luong Commune	People's Committee of Minh Luong Commune Feb 2, 2018	Representatives of local authorities: Commune Chairman, Party Secretary, Cadastral – Construction Officer. Project consultants	25	15	10	Support the policy of road construction of the project.	Noted.
						Project implementation should minimize impacts on local people	Efforts are being made to minimize land acquisition for the project.
						The commune wants to build a bypass road to ensure traffic safety, avoid noise, and minimize environmental sanitation. However, the bypass road will go into the graveyard, the communal culture house and 10 households in Hamlet 3.	In case bypass road alternative is selected, the design will be considered to avoid impacts on graves and cultural houses. If impacts are unavoidable, or the households whose graves are too close to the road and do not want to leave their graves there, they will be compensated for displacement and reburial of the graves. In addition, they will be entitled to receive cash allowance for grave displacement rituals according to the traditions of their group. If cultural houses are affected, they will be restored by the project.
						Some households want to keep the existing road alignment so as not to affect the agricultural land area (rice land)	There are many opinions of construction of bypass road and others want the project to upgrade and rehabilitate on the existing road. At present, the bypass route is being proposed. The project preparation team will base on the scope of impacts of both options on people’s lives to consider the alternative. In case bypass road alternative is selected, livelihood restoration measures for the households losing agricultural land will be designed within the livelihood restoration program of the project to ensure that their living standards will be improved or at least restored to the pre-project level.
						More details of the new road should be provided	The disclosure of detailed design of the project will be carried out during the detailed design preparation

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			Total	Male	Fe-male		
							process. The design consultants will organize public consultation about the design or disclose the design to the local communities and authorities at different levels during the designing process.
2. Tham Duong Commune	Commune People's Committee Feb 2, 2018	Representative of local authorities: Commune Chairman, Cadastral – Construction Officer Project consultant	46	22	24	Local people are very excited with the improvement of the road.	Noted
						Need clearance agreement before construction time.	According to the regulations of the Government and ADB, the civil works can only be commenced when site clearance is completed.
						Need to pay attention to resettlement area for better living.	Assessing the scope of impacts, the development of a resettlement site is not necessary. However, depending on the project impacts at the DMS time, if the resettlement site development is required, those affected by land acquisition for the development of the site will be compensated per the principles of the project policy framework. Site levelling and construction of the resettlement site will be carried out by the District People's Committees.
						Request for compensation in accordance with State regulations.	Compensation will be implemented as per the principles stated in the policy framework based on state regulations and ADB policy. Compensation will be based on the principle of replacement cost.
3. Duong Quy Commune	People's Committee of Duong Quy Commune Feb 1, 2018	Representatives of local authorities: Commune Chairman, Commune Party Secretary. - Project consultant	63	42	21	The commune wants to make another route because the proposed bypass will pass through the cemetery of the whole commune and will go through the high hills which make it difficult to construct. The bypass road	The current proposed route was considered based on different factors/criteria, including technical, economic, environmental and social impacts. The route will go to the side of the cemetery. Roads that go through flat fields would also have impacts on farming land. Efforts are being made to minimize impacts.

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			Total	Male	Fe- male		
						should go through the field. This will give the commune more opportunities for business and development.	
						Projects need to ensure minimal impacts on the people.	
4. Hoa Mac Commune	Hoa Mac Commune People's Committee Feb 1, 2018	- Representative of local authorities: Commune Chairman, Commune Vice Chairman, Head of Police. - Project consultant	47	25	22	Commune people and authorities support the road construction project.	Noted.
						The compensation must be public and transparent.	Compensation will be implemented as per the principles stated in the policy framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records, rate application minutes will be disclosed publicly at the offices of the CPCs and village cultural houses. Compensation will be delivered directly to the affected households with the monitoring of the People’s Committees at different levels.
5. Son Thuy Commune	Cultural House of Khe Lech village, Son Thuy commune Jan. 29, 2018	Representatives of local authorities: Vice Chairman of the People's Committee, cadastral officer Project	42	17	25	The local people agree to support the project, but it is necessary to consider the drainage to avoid flooding for people because the existing road is much higher than the house.	The road design will include drainage for water runoff.
						It is necessary to consider the resettlement area, if any.	Assessing the scope of impacts, the development of a resettlement site is not necessary. However, depending

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			Total	Male	Fe-male		
6. Lang Giang Commune	People's Committee of Lang Giang Commune Jan. 31, 2018	consultant	43	25	18		on the project impacts at the DMS time, if the resettlement site development is required, those affected by land acquisition for the development of the site will be compensated per the principles of the project policy framework. Site levelling and construction of the resettlement site will be carried out by the District People's Committees.
						The project should pay due attention to the living environment of the people.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
		Representatives of local authorities: Vice Chairman of the People's Committee, cadastral officer Project consultant				The people and the commune authorities agree to support the project implementation in the area and wish the project to be implemented soon.	Noted. If approved the project is expected to commence in 2019.
						The roadside houses are already built backward to prepare for the road widening and less impacts are expected.	Noted.
						The compensation must be adequate for the people, ensuring the interests of the people.	Compensation will be implemented as per the principles stated in the policy framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records. Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			Total	Male	Fe-male		
7. Khanh Yen Town	Khanh Yen Town People's Committee Jan 30, 2018	Representatives of the local government: the chairman of the town, the vice chairman of the town council, the secretary of the town party committee, the chief of the town, the president of the Fatherland Front. Project consultant	32	18	14	People and local authorities suggested to build a town bypass to avoid hospitals, schools, high volume of cars running through the town, about 400 cars a day. The bypass should go southward to reduce impacts on the people.	The selection of bypass road will be considered based on different factors/criteria. In addition to the criteria mentioned above, the environmental and social impacts of the bypass road will be carefully considered.
8. Khanh Yen Thuong Commune	People's Committee of Khanh Yen Thuong Commune Jan 30, 2018	Representatives of local authorities: Chairman of the Commune People's Committee, Vice Chairman of the Commune People's Committee. Project consultant	13	8	5	Require consulting units, designers to coordinate with the commune authority to implement the project for best results.	Project consultants will work closely with local People's Committees during implementation, including implementation of the resettlement plan.
						Ask for the price of compensation and detailed design plans.	The disclosure of detailed design of the project will be carried out during the detailed design preparation process. The design consultants will organize public consultation about the design or disclose the design to the local communities and authorities at different levels during the designing process. During updating of the RP, APs will be consulted on the compensation rates before finalization.

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			Total	Male	Fe- male		
						Environmental issues should be seriously considered by the project and avoid house erosion and subsidence.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan
9. Tan Thuong Commune	People's Committee of Tan Thuong Commune Jan. 29, 2018	Representatives of local authorities: Chairman of the Commune People's Committee, Secretary of the Party Committee, Cadastral Officer. - Project consultant	18	11	7	The people and the commune authorities support the project implementation.	Noted
						Ask for the road detailed design, resettlement area, impacts on current business along the road	The disclosure of detailed design of the project will be carried out during the detailed design preparation process. The design consultants will organize public consultation about the design or disclose the design to the local communities and authorities at different levels during the designing process. [Impacts on businesses along the road are expected to be temporary in nature.]
						A quarter of the population are living on road 279 so a resettlement area may be needed.	The suggestion is noted and will be taking in to consideration when resettlement impacts are assessed.
						Compensation to people should be made at market prices.	Compensation will be implemented as per the principles stated in the policy framework. The calculation of compensation value will be based on the magnitude of impacts of each household and compensation rates, as well as detailed measurement survey records. Compensation will be at replacement cost based on a replacement cost study to be undertaken when the RP is being updated. Land and non-land assets will be compensated at replacement costs.

SUMMARY OF PUBLIC CONSULTATION RESULTS							
Commune	Meeting place	Ingredient	Number of participants			Opinion of the people	Response/ How Addressed by Project
			Total	Male	Fe-male		
10. Nam Xe Commune	Commune People's Committee January 25, 2018	- Representative of local government: Chairman of Commune People's Committee, Secretary of Party Committee, Commune Cadaster. - Project consultant	61	28	33	The commune expects that the project upgrades to the route will facilitate trade in goods and transportation.	Noted.
						Concerns voiced over the traffic safety during the operation of the project: traffic accidents, traffic density.	The project will implement a community-based road safety awareness program. The technical design of the project will incorporate measures to improve safety.
						Do not build camps near tomb areas.	The comments were noted for inclusion in the Project's Environmental Impact Assessment and Environment Management Plan

Photos of Public Consultation in Lao Cai Province



Public consultation in Duong Quy Commune



Public consultation in Duong Quy Commune



Public consultation in Hoa Mac Commune



Public consultation in Hoa Mac Commune



Public consultation in Khanh Yen Thuong Commune



Public consultation in Khanh Yen Thuong Commune



Public consultation in Lang Giang Commune



Public consultation in Lang Giang Commune



Public consultation in Minh Luong Commune



Public consultation in Son Thuy Commune

Public consultation in Minh Luong Commune



Public consultation in Son Thuy Commune



Public consultation in Tan Thuong Commune



Public consultation in Tan Thuong Commune



Public consultation in Tham Duong Commune



Public consultation in Tham Duong Commune



Public consultation in Khanh Yen Town



Public consultation in Khanh Yen Town

Table 9-2 List of Ethnic Minority Participants

No.	Full Name	Gender
Duong Quy Commune, Van Ban District, Lao Cai Province		
1	Bui Thi Hue	Female
2	Luong Minh Quang	Male
3	La Thi Soi Ngan	Female
4	Luong Thi Thong	Female
5	Cat Van Kien	Male
6	Hoang Van Hung	Male
7	Hoang Van Giang	Male
8	La Tan Thoi	Male
9	Hoang Van Huan	Male
10	La Van Tung	Male
11	Hoang Thi May	Female
12	Hoang Van Tien	Male
13	La Thi Phuong	Female
14	Vu Thi Van	Female
15	La Hong Ngan	Female
16	Ha Van Huan	Male
17	Hoang Xuan Nghiem	Male
18	Hoang Van Thiet	Male
19	Hoang Van Tuyen	Male
20	Ly Van Vien	Male
21	Luong Van Lien	Male
22	Hoang Van Nghiem	Male
23	Vu Dinh Don	Male
24	La Dinh Huan	Male
25	Ha Van Tho	Male
26	Luong Van Doan	Male
27	Duong Van Dien	Male
28	Dam Hong Son	Male
29	Hoang Van Thiem	Male
30	Hoang Van Dung	Male
31	Hoang Thuy Dung	Female
32	Hoang Van Lich	Male
33	La Thi Chung	Female
34	Hoang Thi Tam	Female
35	Bui Van Gieng	Male
36	Ha Thi Hoan	Female
37	Hoang Thi Trang	Female
38	Hoang Van Su	Male
39	Hoang Thi Le	Female
40	La Trung Dong	Male
41	Hoang Thi Hien	Female
42	Hoang Thi Xuyen	Female
43	Hoang Van Nhu	Male
44	Luong Chi Dat	Male
45	Hoang Van Dung	Male
46	Hoang Van Sem	Male

No.	Full Name	Gender
47	Hoang Van Hanh	Male
48	Dao Duy Cu	Male
49	Hoang Van Nguyen	Male
50	Luong Van Bong	Male
51	Lu Long Quan	Male
52	Hoang Dinh Nha	Male
53	Hoang Thi Le	Female
54	La Xuan Tham	Male
55	La Ngoc Tien	Male
56	Luong Van Cu	Male
57	Vu Thi Thanh	Female
Hoa Mac Commune, Van Ban District, Lao Cai Province		
58	Dong Xuan Hon	Male
59	Phung Thanh Hoa	Male
60	Vu Thanh Diem	Male
61	Vu Duy Ha	Male
62	Hoang Thi Tiep	Female
63	Hoang Thi Diep	Female
64	Hoang Van Di	Male
65	Hoang Van Sau	Male
66	Hoang Van Thanh	Male
67	La Thi Doan	Female
68	Hoang Minh Tuan	Male
69	Luu Thi Hong Hanh	Female
70	Ngo Quang Trung	Male
71	Li Bao Mong	Male
72	Do Thi Ngat	Female
73	Dang Thi Bac	Female
74	Ly Thi Toan	Female
75	Lu Thi Thanh	Female
76	La Thi Tinh	Female
77	Do Thi Ty	Female
78	Hoang Thi Vuong	Female
79	Hoang Thi Dam	Female
80	Ha Dinh Quan	Male
81	Phung Thi Hau	Female
82	Lu Thi Xu	Female
83	Hoang The Vinh	Male
84	Vu Thi Tinh	Female
85	Ha Van Thi	Male
86	Hoang Van Tan	Male
87	Hoang Thi Vy	Female
88	Ma Xuan Huong	Female
89	La Viet Cuong	Male
90	Ma Van Phong	Male
91	Ha Van Lanh	Male
92	Ha Van Pan	Male
93	Luong Thi Loan	Female
94	Hoang Van Giay	Male

No.	Full Name	Gender
95	Hoang Manh Cuong	Male
96	Ma Xuan Hung	Male
97	Hoang Ngoc Chinh	Male
98	Vu Duy Ha	Male
Khanh Yen Thuong Commune, Van Ban District, Lao Cai Province		
99	Hua Van Hien	Male
100	Hoang An Ninh	Male
101	Duong Duy Hung	Male
102	Ly Thi Tinh	Female
103	Ly A Tu	Male
104	Ly Thi Duyen	Female
105	Hoang Thi Cap	Female
106	Chu Thi Doan	Female
107	Hoang Thi Phien	Female
108	Hoang Van Hung	Male
109	Ha Xuan Thang	Male
Lang Giang Commune, Van Ban District, Lao Cai Province		
110	Ly Cong Thai	Male
111	Hoang Van Don	Male
112	Ha Van Thieu	Male
113	Ha Thanh Khiem	Male
114	Luong Dinh Thieu	Male
115	Luong Thi Huong	Female
116	Vi Thi Nghien	Female
117	Hoang Thi Duc	Female
118	La Thi Linh	Female
119	Hoang Van Ao	Male
120	Phung Kim Thoa	Female
121	Sam Van Quyen	Male
122	Ha Thi Hue	Female
123	Do Thi Tuyen	Female
124	Vi Thi Quyen	Female
125	Ha Van Vung	Male
126	Hoang Thi Bich	Female
127	Hoang Thi Bui	Female
128	Dang Thi Thao	Female
129	Pham Van Ly	Male
130	Ha Thi Tu	Female
131	Pham Van The	Male
132	Pham Thi Thu	Female
133	Mai Thanh Long	Male
134	Ha Thi Chuoi	Female
135	La Quang Huy	Male
136	Vi Van Tui	Male
137	Vi Van Dang	Male
138	Duong Van Nhanh	Male
139	Ly Van Kinh	Male
140	Hoang Ngoc Chuc	Male
Minh Luong Commune, Van Ban District, Lao Cai Province		

No.	Full Name	Gender
141	Hoang Van Nghiem	Male
142	Chu Van Thuong	Male
143	Sam Thi Bien	Female
144	Hoang Van Den	Male
145	Hoang Thii Tuoi	Female
146	Hoang Van Duong	Male
147	Ma Van Phien	Male
148	Vuong Thi Thu	Female
149	Hoang Van Minh	Male
150	Hoang Thi Noi	Female
151	Luong Quang Phien	Male
152	Ma Van Luyen	Male
153	Duong Van Linh	Male
154	Lang Ngoc Hai	Male
155	Duong Van Han	Male
156	La Dinh Vuong	Male
157	Hoang Van La	Male
158	Hoang Thi Phong	Female
159	Sam Thi Huong	Female
160	Vuong Thi Phai	Female
161	Luong Thi Xuan	Female
162	Hoang Van Khin	Male
163	Sam Thi Dinh	Female
164	Hua Van Minh	Male
Nam Xe Commune, Van Ban District, Lao Cai Province		
165	Ban Thi Muoi	Female
166	Ban Thi Nay	Female
167	Hau Thi Hoa	Female
168	Ly Thi Mui	Female
169	Hau A Chung	Male
170	Lu Thanh Hang	Female
171	Vang A To	Male
172	Ly A Viet	Male
173	Ly A Lo	Male
174	Vang A Chinh	Female
175	Ly A Trai	Female
176	Hoang Thi Yen	Female
177	Ho Thi Hoa	Female
178	Nong Thi Thanh	Female
179	Giang Thi Lanh	Female
180	Vang Thi Trai	Female
181	Ho Xuan Dao	Male
182	Vang A Chanh	Male
183	Ly Thi Tien	Female
184	Trieu Thi Sinh	Female
185	Ban Xuan Nghi	Female
186	Vu Dinh Diep	Male
187	Hoang Thi Lan	Female
188	Luong Van Thuong	Male

No.	Full Name	Gender
189	Vang Van Su	Male
190	Ly A Nhang	Male
191	Ly Thi Sai	Female
192	Luong Thi Ly	Female
193	Trieu Van Hien	Male
194	Ly A Trai	Male
195	Ly A Lo	Male
196	Vu A Chanh	Male
197	Hoang Trung Thanh	Male
198	Vang A Ly	Male
199	Ly Xuan Trai	Male
200	Vang Ton Nhi	Male
201	Ly A Do	Male
202	Ly A Dinh	Male
203	Trieu Xuan Nhi	Male
204	Tran Thi Chung	Female
205	Ho Van Dao	Male
206	Trieu Trung Phau	Male
207	Ngo Anh Tuan	Male
208	Vang A To	Male
209	Bui Thi Nhlen	Female
210	Hoang Thi Yen	Female
211	Trieu Trung Tai	Male
212	Ha Thi Chung	Female
213	Trieu Thi May	Female
214	Vu Thi Thanh Tam	Female
215	Luong Thi Binh	Female
216	Ly A Lo	Male
217	Ly A Trang	Male
218	Ly Thi Sai	Female
219	Hoang Thi Lan	Female
220	Luong Thi Ly	Female
221	Vang Thi Trai	Female
222	Ho Thi Hoa	Female
223	Vang A Ly	Female
Son Thuy Commune, Van Ban District, Lao Cai Province		
224	Dong Duy Linh	Male
225	Dang Thi Mai	Female
226	Dang Van Tien	Male
227	Vu Van Chien	Male
228	Trieu Thi Lao	Female
229	Hoang Van Ton	Male
230	Hoang Thi Lai	Female
231	Ly Thi Than	Female
232	Luong Thi Nhan	Female
233	To Thi Loan	Female
234	Hoang Thi Phon	Female
235	Chu Thi Net	Female
236	Hoang Van Can	Male

No.	Full Name	Gender
237	Hoang Thi Tuyet	Female
238	To Huong Mau	Female
239	Luong Thi Loi	Female
240	Dang Thi Hien	Female
241	Mai Xuan Lieu	Male
242	Mai Xuan Tien	Male
243	Truong Thi Van	Female
244	Hoang Thi Lo	Female
245	Phung Thi Nay	Female
246	Vu Van Tinh	Male
247	Mai Kieu Trinh	Male
248	Vi Thi The	Female
Tan Thuong Commune, Van Ban District, Lao Cai Province		
249	Lai Xuan Phai	Male
250	Hoang Van Tiem	Male
251	Luong Thi Thanh Hoa	Female
252	Trieu Huu Tien	Male
253	Vu Dinh Viet	Male
254	Luong Manh Thanh	Male
Tham Duong Commune, Van Ban District, Lao Cai Province		
255	Ha Thi Binh	Female
256	La Thi Huong	Female
257	Le Van Dong	Male
258	Trieu Thi Lieu	Female
259	Trieu Thi Pham	Female
260	Ban Thi Pham	Female
261	La Thi Phung	Female
262	Hoa Thi La	Female
263	Hoang Thi hai	Female
264	Duong Thi Chan	Female
265	Chu Ngoc Tan	Male
266	Hua Thanh Tinh	Male
267	Hoang Van Cuong	Male
268	Trinh Thi Hoa	Female
269	Hoang Thi Hai	Female
270	La Van Sam	Male
271	Ha Van Thu	Male
272	Bau Thi Mui	Female
273	Trinh Thi Phuong	Female
274	La Van nguyen	Male
275	Hoa Van Pan	Male
276	Hoa Van Pau	Male
277	Ban Huu Vuong	Male

No.	Full Name	Gender
278	Ha Van Quyen	Male
279	Hoa Van Dung	Male
280	Duong Van Quy	Male
281	Trieu Van Sinh	Male
282	Trieu Kim Phin	Male
283	Ly Thua Van	Male
284	Phung Kim Quy	Male
285	Ha Thi Ban	Female
286	La Thi Thu Huyen	Female
287	Trinh Xuan Binh	Male
288	Bui Van Boi	Male
289	Vu Thi Tuyet	Female
290	Lai Thi Quyen	Female
291	Luong Thi Thuyen	Female
292	Bui Thi Han	Female
293	Hoang Thi Tham	Female
Khanh Yen Town, Van Ban District, Lao Cai Province		
294	Lo Van Dien	Male
295	Luc Thanh Van	Male
296	Luong Dinh Do	Male
297	Bui Tien Hoan	Male
298	Bui Manh Duong	Male
299	Vo Cong Chinh	Male
300	Vu Cong Trinh	Male
301	Luong Thi Hien	Female
302	La Thi Thanh Thao	Female
303	Cao Thi Ly	Female
304	Luong Manh Toan	Male
305	Duong Thi Duyen	Female
306	Vu Van Thuong	Male
307	Vuong Van Hoan	Male
308	Ta Thi Senh	Female
309	Dang Thi Luyen	Female

Focus Group Discussions

276. A total of 21 focus group discussions (FGDs) were conducted in the project area communes in November 2017 and August 2018. The Summaries of the points raised, attendance and individual group discussion notes are set out below.

Table 9-3 Summary of Points Raised During Focus Group Discussions

Time	Commune	Ethnic group	Number of participants	Summary of ideas
1. Morning 1/8/18	Duong Quy	Dao group	22	<ul style="list-style-type: none"> • Causes of poverty - Inadequate land for farming - Too many family members, while only few of them are earning income. - Natural disasters are frequent - Low education level, so the people do not know how to apply science and technology into production • Borrowing capital: Mostly the local people get loans from Vietnam Bank for Social policies (policy bank) • Income: from livestock, waged job. • Rice shortage exists • Most children complete secondary school, commune health station is available. All poor and near poor households have health insurance. • Xa Pho and Black Thai ethnic minority groups have a higher poverty rate than the rest. • If our houses and graves are to be relocated, we require all the procedures of worship according to the custom of our ethnic group should be followed • Suggestions: - Peace and security should be kept during the road construction workers staying - Make the most of local labor resources - Advocating and communicating about traffic safety

Time	Commune	Ethnic group	Number of participants	Summary of ideas
2. Morning 1/8/18	Duong Quy	Dao women group	10	<ul style="list-style-type: none"> - Married daughters are not allowed to inherit their parents' assets. - Women's names are not listed in the red books - There is no discrimination in educational investment between men and women. - Village patriarch, people who have great reputation are more respected than Women Union's - Men decide the main things in the family. - Men observe patriarchal doctrine, where all the house work must be carried out by women. - Men regularly attend meetings, participate in social work than women.
3. Afternoon 1/8/18	Tham Duong	Dao group	20	<ul style="list-style-type: none"> • Causes of poverty: - Family members are many but only few earn income. - Due to insufficient land for agricultural production. - Low education level - Limited commercial activities - Traffic is difficult • Mostly the local people get loans from policy bank • Few healthy men work to get daily income in the city. Income is about 150,000-200,000VND/day • The dropout rate is not high. Most of the children will finish grade 9. • Tay people have a higher proportion of poor people than those of other ethnic groups (6 ethnic minority groups in the commune). • Drug abuses, social evils seem to be more at young ages (many of them are Tay) • There are cultural differences between ethnic minority people, but not many

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<ul style="list-style-type: none"> - There is no cross-border woman or child labor. - Suggestions for the project - Vocational training courses are made available for the people - Provide people with employment opportunities - Build a rest station to promote our products
4. Afternoon 1/8/18	Tham Duong	Dao women group	10	<ul style="list-style-type: none"> - Married daughters are not allowed to inherit their parents' assets - When breaking up, women are not allowed to get part of the shared property - Women' names are not listed in the red books. - There is no discrimination in educational investment between men and women. Girl and boy alike will be take to school if their family can afford. - Men decide the more important things in the family. - Women Union does not have voice in resolving conflict. - The majority of people living in resentment so as to reduce the conflicts. - Suggestions - When receiving compensation, both husband and wife must sign - There should be transparency in site clearance and compensation. - Direct monitoring by all levels during payment of compensation.
5. Morning 2/8/18	Hoa Mac	Tay group	11	Causes of poverty <ul style="list-style-type: none"> - Due to losses in doing business - Techniques of farming and livestock are limited. - Unfavorable natural conditions, many areas of land

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<p>are barren, or being suffered from floods and landslides.</p> <ul style="list-style-type: none"> - Some households do not have enough land for production. <p>Access to markets for input materials and agricultural products</p> <p>There is no market in this area, we should go to Van Ban district to sell the products and the prices are different.</p> <p>Access to source of funds: Some households say that they have difficulties in accessing to source of funds.</p> <p>Non-agricultural livelihood opportunities: Some villagers go outside to get jobs in some companies. Also they can get jobs i.e. brick layers, mortar mixer, etc.</p> <p>Suggestions</p> <ul style="list-style-type: none"> - More models of agricultural products for farmers should be introduced. - Organizing learning-by-doing training courses - Have access to low-cost loans, procedures need to be easier. - The contractors must work with the commune security officers to manage their labors.
6. Afternoon 2/8/18	Hoa Mac	Tay women group	5	<p>* Gender role in family</p> <ul style="list-style-type: none"> - Women can contribute comments on household chores. - When divorce, women can get their share of property. - The house chores are more carried out by women than men. - Both men and women participate in social activities

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<p>equally</p> <ul style="list-style-type: none"> - Women Union plays an important role in the advocacy and organization of the cultural performance activities and in conflict resolution. <p>* Concerns from the project implementation</p> <ul style="list-style-type: none"> - Making roads affecting business households due to dust and dirt - Traffic accidents, social evils increase <p>Suggestions:</p> <ul style="list-style-type: none"> - There are warning signs in the accident prone area - Organize training courses on gender, reproductive health and HIV prevention.
7. Morning 03/8/18	Son Thuy	Dao group	11	<ul style="list-style-type: none"> • Causes of poverty - Proportion of poor, near poor households is high (over 60%) - Lack of agricultural land because most of hills, forest land were recovered by iron mines; - Education level is low and the science and technology are not applied. - Limited commercial activities. • Procedures for relocation of houses, graves - Should invite fortune teller to do the worship ceremony, which may cost about 1.5 million VND/ceremony - If the grave is not "renovated", the cost is about 10 million VND/grave - Graves are to be relocated to cemetery of the family line, otherwise these can be moved to public cemetery • Training courses on cultivation and livestock?

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<ul style="list-style-type: none"> - 1 or 2 training courses are organized in one year. - Little access to training courses on how to plant and tend to seedlings. - Only poor people are invited to attend training. Once a year. • Can non-agricultural occupations develop? - In addition to farming, people may work outside to get income only in remote areas - Main job is brick layering, some go to work in China; - Even if training courses on non-agricultural jobs are organized, it is difficult to find employment opportunities. • During worship, villagers do not allow to work. This should be noted by the contractors who arrange workers in the construction site • Access to capital: - People borrow capital from policy bank where the local agencies stand out to give the credit for them. - The main purposes of the loan are to invest in raising animals and children education. - About 70% of households in the village used to get loans, but now they do not want/do not dare to borrow because they do not know where to invest or how production development can be processed; • Suggestions: • Support in the form of vocational training, job introduction, job support.

Time	Commune	Ethnic group	Number of participants	Summary of ideas
8. Morning 03/8/18	Son Thuy	Dao women group	10	<ul style="list-style-type: none"> - In family, women can only comment, but men decide everything - Mainly income is based on men. - Chores such as washing clothes, farming, women take the main role and spend more time; - Women also go to work in China; There are about 15 women villagers are working in China; - Young women also go to work in other places such as Lao Cai, Yen Bai; - Single women in the village are many, about 17 households. The reason for being single is due to their husband died, or they are dumped by the husbands, or having children without getting married; - Many single-woman households find it difficult to obtain loans because of poverty, banks do not want to lend for fear of default; - Men are more involved in social activities. - Suggestions: - Organize training courses on cultivation and livestock for women - It is best to build a livestock or farming model but have a connection to the market; - Women are prioritized to get job in construction of the road - Organizing advocacy sessions on gender equality for women

Time	Commune	Ethnic group	Number of participants	Summary of ideas
9. Morning 3/8/18	Tan Thuong	Dao	9	<p><i>Main causes of the local poverty</i></p> <ul style="list-style-type: none"> - Newly separated households, new children, lack of productive land - Many households are old grandparents and two grandchildren. - Techniques, and investment perspective of people are limited - Natural disasters and landslide cause troubles for poor households, so that they cannot overcome the difficulties. - Due to drug addiction, laziness, drinking all day - Due to unreasonable spending of some households. <p><i>Farming techniques and main crops</i></p> <ul style="list-style-type: none"> - The main forestry crops in the area are: Acacia, Cinnamon, Ficus etc. Rice and cassava are the main agricultural crops. Households are linked together to plant forest. - Difficulties here are the lack of water, many places do not have water for irrigation. - Many of the fields near Noi Bai - Lao Cai expressway are being affected due to the embankment material being drifted into the field make it difficult to cultivate; <p><i>Access to source of funds</i></p> <ul style="list-style-type: none"> - There are many loan programs but people do not have a need for loans. <p><i>Debts from food traders or for agricultural supplies?</i> At present, many households are in debt with fertilizer sellers, at the end of the year, they have to sell the products to the sellers to deduce the debt.</p> <p><i>Number of children dropping out of primary school,</i></p>

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<p>secondary school and the cause Girls dropped out of school more than boys.</p> <p>Are some ethnic minority groups more vulnerable than others? The Hmong people are poorer because they are far from the center of the commune, the roads are difficult, and there is no electricity.</p> <p>Concerns when project implementation:</p> <ul style="list-style-type: none"> - With more convenient road more social evils may arise, many young people will be tempted. - Highways make many families abandon their fields. <p>Suggestions</p> <ul style="list-style-type: none"> - Local labor should be employed, creating jobs for local workers when implementing the project. - Organize vocational training and job introduction for workers. - For inarable fields due to land acquisition, landslides, the owners must be compensated.
10. Morning 3/8/18	Tan Thuong	Dao women group	6	<p>Investment in education between men and women: There are more psychological investment for boys in education while girls are asked get married after graduated from school.</p> <p>Solving conflict in the community: There are prestigious people, older people who are respected by villagers are invited to reconcile the conflict.</p> <p>Concerns when project implementation:</p> <ul style="list-style-type: none"> - More social evils may arise - Impact of dust, noise, influences on the water ditches in the field.

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<p>Gender equality:</p> <ul style="list-style-type: none"> - When dividing property, daughters are rarely given a part. For better-off families, the girls may have their parts. <p>There are activities, training courses in livestock, production, who are the main participants?</p> <ul style="list-style-type: none"> - Women participated more in meetings, community training. <p>Suggestions:</p> <ul style="list-style-type: none"> - Communicate on the project information, impacts of the project on the households. - Advocacy on reproductive health, social responsibility - When making roads, use local labors - It is necessary to publicize the compensation policy and the level of compensation
11. Afternoon 3/8/18	Khanh Yen town	Gay group	8	<ul style="list-style-type: none"> • Procedures for moving houses, graves - Need to hire a fortune tellers to perform the ceremony when moving the houses or graves - Cost is about 4 million VND/time - The place of relocation is the cemetery of the family line or the general cemetery of the village, but the Gay do not like the common cemetery; • Poverty: - There are 49/114 poor households, mainly are Gay, Tay ethnic group - Reasons for poverty: lack of productive land, sickness, illness, lack of labor with income. - Multi-child family; - Natural disasters i.e. floods and inundation; • About some customs and traditions:

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<ul style="list-style-type: none"> - Men and women from different ethnic groups still get married. - Child marriage is not much. - The whole Village has two offering ceremonies in one year offerings (2/2 and 24/6 lunar calendar). Only men can be worship in the village temple, women can not enter the temple. - Strangers are not allowed to enter; • Non-farming employment - Working to get waged income: both men and women, the jobs mostly are by season or by package. - There are 3-4 people working in Laos, they prepare steel concrete pillars for hydropower projects. - Many people come to China but after a few months, they come back; - Average wage for local workers: 200,000 VND per day for men and 100,000 VND per day for women. - There is a culinary culture model established in 2016, but there is no customers – we need support to connect to the market; <p>Suggestions:</p> <ul style="list-style-type: none"> - Notify the workers of the custom of the Giay people on the day of worship; - The contractors must contact the authorities to declare the permanent residents, and manage the workers;

Time	Commune	Ethnic group	Number of participants	Summary of ideas
12. Morning 4/8/18	Khanh Yen town	Giay women group	5	<ul style="list-style-type: none"> - Women also has a voice in the family; - Boys and girls are going to school alike. Many girls finish college, university degree but get no job; - When marrying, daughters are not allowed to inherit parents' assets. - Men can decide all things in family; - There is a distinction between paid labors and men with higher incomes than women. Women also have to take care of family and have to work to make money; - Often the women get jobs as dishwashers in the tow; - Young women work to get salary in remote places; - Child marriage is popular. There are many girls have kids 3 years before they get to the marriage age as stipulated by marriage and family law; - Separation with husbands in young women is also popular; These women often go out to work after separation with their husbands, sometimes they go to Hanoi, and may go China; - Suggestions Support mushroom growing model; We have observed that mushrooms are very popular in the Van Ban Town's market town, but the mushrooms are imported. If there is a model that teaches women to make mushrooms, they can grow well;

Time	Commune	Ethnic group	Number of participants	Summary of ideas
13. Afternoon 4/8/18	Khanh Yen Thuong	Tay group	10	<ul style="list-style-type: none"> Procedures for moving houses, graves Must perform the ceremony when moving Costs about 3 million/relocation Location of relocation: General cemetery or family cemetery. If there is no land to set a grave, it costs 800,000 VND/location Poverty, causes: <ul style="list-style-type: none"> Due to sickness, illness, unable to work, many family members. Lack of land for agricultural production. Livestock production is ineffective due to unstable prices; About customs and habits <ul style="list-style-type: none"> Traditional Lunar New Year and Thanh Minh are the largest (in 3/3 lunar calendar) There worship offering in the village (in 2/8 lunar calendar) Marriage within the family Income: <ul style="list-style-type: none"> Mainly from livestock, trading and waged jobs 20% laborers are relying on waged job, which are unstable work Average wage for local workers: 200,000 VND per day for men and 150,000 VND per day for women. Training courses on cultivation and livestock? <ul style="list-style-type: none"> Vocational training classes are available but with not high efficiency. Access to capital: <ul style="list-style-type: none"> Many households borrow from banks, mainly social

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<p>policy bank</p> <ul style="list-style-type: none"> - The purpose of the loan is to invest in livestock production, but the efficiency of borrowing is not high because of the small loan. - Suggestions - Agricultural cooperatives have been set up, but they cannot operate because they cannot find the consumption, so it is suggested to help find the market for their products; - Organize vocational training for the people - Introduce job for the people
14. Morning 5/8/18	Khanh Yen Thuong	Tay women group	8	<ul style="list-style-type: none"> - Access to markets and healthcare services is very good as the commune is close to the town. - Men and women are equal in everything, however, men still play a decisive role; - When working to get wage, the men usually receive higher than the women. Men receive 180,000 VND per day but women receive only 140,000 VND per day. - Employers do not want to hire women; - Men participate in meetings, social work more than women. - Suggestions - The project need to pay attention on creating jobs for women - Training for women on livestock
15. Morning 5/8/18	Lang Giang	Gay and Tay mixed group	17	<p>Main causes of the local poverty</p> <ul style="list-style-type: none"> - Labor shortage. - Lack of productive land t - People do not have much knowledge about cultivation

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<p>and livestock techniques.</p> <ul style="list-style-type: none"> - Due to natural conditions <p>Access to source of funds</p> <ul style="list-style-type: none"> - Usually get loans from policy bank and agribank. - Borrowing from 20-30 million VND to develop the economy, raise buffalo and cattle. Loan size is limited. <p>Access to and quality of local social services (health, education)</p> <p>Access to local health and education services is good.</p> <p>Concerns about many possible problems because of the project:</p> <ul style="list-style-type: none"> - Family life is disturbed when the project is implemented - Concerned about the red book after the project of land acquisition. <p>Suggestions:</p> <ul style="list-style-type: none"> - The project to build models of economic development - The training courses should be organized and instructed in the village - Provide full information, early information about the project - Support the people in the area to learn the job - Employ local labors
16. Afternoon 5/8/18	Lang Giang	Gay and Tay women group	10	<ul style="list-style-type: none"> - Family chores such as cooking, laundry, caring for children are usually done by the wives. - both husband and wife discuss but mainly the husband decides the important things in family. - Very few dropout in primary and secondary school children, dropouts are due to poor.

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<p>Concerns about many possible problems because of the project:</p> <ul style="list-style-type: none"> - Construction of road may cause traffic accidents, and social evils. - It takes some time to stabilize family life. - Environmental pollution from dust, noise <p>Suggestions:</p> <ul style="list-style-type: none"> - Notify the people about the compensation policy of the project in full, detailed, and publicly announce the compensation amounts. - Organize training courses for people on cultivation and livestock. - Have preferential policies for women to do business, extend lending limit. - Training young people on control social evils, reproductive health.
30.10.2017	Village 2, Minh Luong Commune, Van Ban	Womens focus group	5 commune cadre, 25 women 17-46 years	<ul style="list-style-type: none"> · Around 90% of the villagers are ethnic Tay. Life is still difficult because of lack of capital and insufficient land. The village is far from the market so women are not able to trade anything. Many women have husbands who have died from AIDS or are addicted to heroin. We have heard of the project but not yet in detail and recommend that more information be provided broadly. We are very interested to know about compensation and assistance if we are affected by the project. The head of the village Women's Union recommended that training should include road safety, animal husbandry, use of fertilizer, pesticides, child rearing and maternal health.
30.10.2017	Minh Luong	Poor focus	25 people	<ul style="list-style-type: none"> · The commune area has gold mining activities, so the social

Time	Commune	Ethnic group	Number of participants	Summary of ideas
31.10.2017	Thôn 3 Xã Minh Lương h Văn Bàn tỉnh LàoCai	group Ethnic minority group	27 people	<p>situation is quite complicated. The commune has 3 main ethnic groups – Tay (91%), Kinh (>1%), Dao (>1%). The commune has a population 1,055 households with 5,198 persons. Mo Vang is one of 21 communes having especially difficult conditions in Van Ban District. 80% of the population are farmers. The rate of poor and near poor is 68%.</p> <ul style="list-style-type: none"> • The average income is VND 6.5 million/month. Every year there are households moving out of poverty but others falling in. 40% of the population uses wells for water, 50% use river water or ponds. The rate of HIV infection and drug addition is high. As of 2016 there were 187 heroin addicts, 118 people with HIV infection and cumulative 80 persons died from AIDS. Gold mining is a major cause of pollution in the area. • The inter-village roads and roads connecting to production areas are severely degraded. A number of villages have extreme difficulties travelling when in rains. The inter-village roads are mainly dirt roads, and gradient of the land and gold mining gives rise to land slides over the recent years. Some households have their water polluted because of gold mining, affecting also animal husbandry. • Access to markets is constrained and so not able to sell directly and so we need to sell through middle men with a low price. Five people said that that access to market is so bad that the price of fertilizer is so high that it affects production and household income.

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<ul style="list-style-type: none"> 100% of people support the project and want the project to proceed quickly. Recommendations for training: road safety; household financial management, health, sanitation, food safety and child raising,
1.11.2017	Nam Xe Commune	Ethnic Minority Group	Local authorities, women's union, fatherland front, 25 villagers	<ul style="list-style-type: none"> There are 4 main ethnic groups in the commune including Hmong (60%), Dao (32%), Tay (6%) and Kinh (2%). ...The ethnic minority people in the commune receive the government policy benefits about support for farming and animal husbandry. Conditions contributing to difficult living conditions: (i) infrastructure for transport, health, social services (education, health, credit) are low and don't meet people's needs; (ii) people's education is very low as well as awareness about market –skills about production are very low; (iii) customary practices are very outdated – funerals and weddings go on for days, the men are drunk and don't attend their duties; (iv) area for farming is large, but growing paddy still can't optimize the potential because of poor technical skills. There are many reasons women leave the area such as working afar or going to China. The locality is not clear whether they are working or trafficked – until now there are about five such girls. Students, especially secondary school, after drop out because even though they have government support, but

Time	Commune	Ethnic group	Number of participants	Summary of ideas
				<p>they are far from home and there are family needs for labour.</p> <ul style="list-style-type: none"> Recommendations: (i) people in the group want to participate in the project training; (ii) recommend training about building family, gender equality in the family, HIV prevention; (iii) technical skills about using fertilizer and pesticides – especially Hmong and Dao people;

Table 9-4 List of Participants in Focus Group Discussions

	Name		Ethnicity		Sex (Nam=M Nữ=F)
Xã Dương Quỳ, Huyện Văn Bàn, Tỉnh Lào Cai					
1	Lê Trung Nghiệp		Tày		Nam
2	Lê Văn Thủy		Tày		Nam
3	Hoàng Văn Tuấn		Tày		Nam
4	Hoàng Văn Giang		Tày		Nam
5	Hoàng Thị Xuân		Tày		Nữ
6	Vương Thị Mai		Dao		Nữ
7	Vương Thị Xoan		Dao		Nữ
8	Lương Thị Tiến		Dao		Nữ
9	Hoàng Thị Vương		Tày		Nữ
10	La Thị Phụng		Tày		Nam
11	Hoàng Văn Thiệu		Tày		Nam
12	Lại Thị Chúc		Tày		Nữ
13	Lự Thị Tiến		Dao		Nữ
14	Hoàng Thị May		Tày		Nữ
15	La Văn Tùng		Tày		Nam
16	Lương Văn Quang		Dao		Nam
17	Hoàng Văn Sơn		Tày		Nam
18	La Văn Đoan		Dao		Nam
19	Đàm Thị Thêu		Dao		Nữ
20	Liều Văn Thảng		Dao		Nam
21	Hoàng Thị Hiện		Tày		Nữ
22	Hoàng Văn Tuấn		Tày		Nam
	Nhóm 2				
23	Lù Thị Mặc		Dao		Nữ
24	Lương thị Thư		Dao		Nữ
25	Hoàng Thị Thanh		Tày		Nữ
26	Hoàng Thị Tiến		Tày		Nữ
27	Hoàng Thị Hạnh		Tày		Nữ
28	Hoàng Thị Vân		Tày		Nữ
29	La Thị Xuân		Tày		Nữ
30	Hoàng Thị Hoa		Tày		Nữ
31	La Thị Nan		Tày		Nữ
32	La Văn Van		Tày		Nam
Xã Hòa Mạc, Huyện Văn Bàn, Tỉnh Lào Cai					
	Nhóm 1				
1	Hoàng Văn Thường		Tày		Nam
2	La Thị Đình		Tày		Nữ
3	Hoàng Thị Dăm		Tày		Nữ

	Name		Ethnicity		Sex (Nam=M Nữ=F)
4	Vi Thị Hường		Tày		Nữ
5	Hoàng Văn Păn		Tày		Nam
6	Hoàng Văn Nghị		Tày		Nam
7	Hoàng Mạnh Cường		Tày		Nam
8	Hoàng thị Lý		Tày		Nữ
9	Nguyễn Thị Tươi		Tày		Nữ
10	Hoàng Văn Thiệp		Tày		Nam
11	La Văn Thích		Tày		Nam
	Nhóm 2				
12	La Thị Chiến		Tày		Nữ
13	Nguyễn Hồng Hạnh		Tày		Nữ
14	Hoàng Thị Thạch		Tày		Nữ
15	Hoàng Thị Dăm		Tày		Nữ
16	Nguyễn Thị Tiêm		Tày		Nữ
Xã Khánh Yên Thượng, Huyện Văn Bàn, Tỉnh Lào Cai					
1	Bùi Thị Bích Giang		Tày		Nữ
2	Hoàng Thị Hồng Quyền		Tày		Nữ
3	Dương Thị Liễu		Tày		Nữ
4	Vũ Thị Thoa		Kinh		Nữ
5	Trần Thị Thủy		Kinh		Nữ
6	Vi Thị Thảo		Tày		Nữ
7	Vi Thị Hòa		Tày		Nữ
8	Vũ Thị Lý		Kinh		Nữ
	Nhóm 2				
9	Dương Đình Sỹ		Tày		Nam
10	Đỗ Thị Hà		Kinh		Nữ
11	Lục Tiền Tình		Giáy		Nam
12	Hoàng Văn Thích		Tày		Nam
13	Nguyễn Công Bảy		Tày		Nam
14	Hoàng Đình Văn		Tày		Nam
15	Nguyễn Văn Sỹ		Tày		Nam
16	Trần Phong		Kinh		Nam
17	Nguyễn Văn Sơn		Tày		Nam
18	Vi Văn Hoan		Tày		Nam
Xã Làng Giàng, Huyện Văn Bàn, Tỉnh Lào Cai					
	Nhóm 1				
1	Nông Văn Cao		Giáy		Nam
2	An Thanh Oai		Giáy		Nam
3	Hoàng Xuân Hội		Tày		Nam
4	Phan Văn Y		Tày		Nam
5	Phạm Ngọc Tân		Tày		Nam
	Nhóm 2				

	Name		Ethnicity		Sex (Nam=M Nữ=F)
6	Nguyễn Thị Diễm		Tày		Nữ
7	Nguyễn Thị Tứ		Tày		Nữ
8	Hoàng Thị Bích		Tày		Nữ
9	Nguyễn Thị Thơi		Tày		Nữ
10	Phạm Thị Hòa		Tày		Nữ
11	Phạm Văn Ý		Tày		Nam
12	Phạm Văn Tám		Tày		Nam
13	Lý Văn Quỳnh		Tày		Nam
14	Hoàng Văn Vinh		Tày		Nam
15	Hoàng Ngọc Chức		Tày		Nam
16	Lý Văn Thao		Tày		Nam
17	Phạm Văn Hải		Tày		Nam
18	Đàm Quang Hùng		Tày		Nam
19	Lục Văn Sơn		Giáy		Nam
20	Trần Thị Liên		Kinh		Nữ
21	Phùng Văn Thuận		Giáy		Nam
22	Hoàng Văn Thường		Tày		Nam
23	Triệu Văn Đông		Tày		Nam
24	Hoàng Mạnh Hùng		Tày		Nam
25	Nguyễn Hải Dương		Tày		Nam
26	Hoàng Văn Hưởng		Tày		Nam
27	Hoàng Hữu Trọng		Tày		Nam
Xã Sơn Thủy, Huyện Văn Bàn, Tỉnh Lào Cai					
1	Đặng Văn Ton		Dao		Nam
2	Hoàng Văn Liễu		Dao		Nam
3	Đặng Văn Tiên		Dao		Nam
4	Hoàng Văn Sơn		Tày		Nam
5	Đặng Văn Hòa		Dao		Nam
6	Chu Thị Nét		Dao		Nữ
7	Trương Thị Vân		Dao		Nữ
8	Hoàng Thị Lai		Tày		Nữ
9	Lương Thị Sợi		Dao		Nữ
10	Đặng Văn Nhị		Dao		Nam
11	Đặng Thị San		Dao		Nữ
	Nhóm 2				
12	Triệu Thị Náy		Dao		Nữ
13	Nguyễn Thị Liệu		Tày		Nữ
14	Lự Thị Hương		Dao		Nữ
15	Nguyễn Thị Lịch		Tày		Nữ
16	Vương Thị Thẩm		Dao		Nữ
17	Đặng Thị Ghén		Dao		Nữ
18	Phùng Thị Máy		Tày		Nữ

	Name		Ethnicity		Sex (Nam=M Nữ=F)
19	Triệu Thị Lai		Dao		Nữ
20	Đặng Thị Phạm		Dao		Nữ
Xã Tân Thượng, Huyện Văn Bàn, Tỉnh Lào Cai					
1	Lý Thị Kiều		Tày		Nữ
2	Trần Thị Tiểu		Tày		Nữ
3	Lý Văn Trích		Tày		Nam
4	Lý Văn Khuy		Tày		Nam
5	Lý Thị Non		Tày		Nữ
6	Bàn Thị Nga		Dao		Nữ
7	Đặng Thị Tép		Dao		Nữ
8	Lý Văn Phiếu		Tày		Nam
9	Triệu Thị Sinh		Dao		Nữ
	Nhóm 2				
10	Lý Thị Quý		Tày		Nữ
11	Bàn Thị Kỳ		Dao		Nữ
12	Lý Thị Quý		Tày		Nữ
13	Lý Thị Đang		Tày		Nữ
14	Triệu Thị Đôn		Dao		Nữ
15	Hoàng Thị Thiểu		Tày		Nữ
Xã Thắm Dương, Huyện Văn Bàn, Tỉnh Lào Cai					
1	Đặng Thị Thu Huyền		Dao		Nữ
2	La Thị Hương		Tày		Nữ
3	Trịnh Thị Phương		Dao		Nữ
4	Lò Thị Yến		Dao		Nữ
5	Dương Thị Nét		Giáy		Nữ
6	Triệu Thị Sính		Dao		Nữ
7	Trịnh Thị Hòa		Dao		Nữ
8	Chu Thị Cải		Dao		Nữ
9	Hà Thị Nọi		Giáy		Nữ
10	La Văn Nguyên		Tày		Nam
11	Hoàng Văn Phóng		Dao		Nam
12	Hà Văn Thu		Giáy		Nam
13	Hoa Văn Ngân		Dao		Nam
14	Hà Văn Thích		Dao		Nam
15	La Văn Thâm		Dao		Nam
16	Dương Văn Chính		Dao		Nam
17	Hoa Văn Cường		Giáy		Nam
18	Hoa Văn Liêm		Giáy		Nam
19	Hoa Văn Vinh		Giáy		Nam

	Name		Ethnicity		Sex (Nam=M Nữ=F)
20	Phùng Văn Tài		Tày		Nam
21	Phùng Văn Thìn		Tày		Nam
22	Dương Văn Chiêu		Giáy		Nam
	Nhóm 2				
23	Triệu Văn Nhĩ		Dao		Nam
24	Hoàng Văn Hùng		Tày		Nam
25	Dương Văn Quý		Giáy		Nam
26	Hoa Văn Pàn		Dao		Nam
27	Lý Thừa Vạn		Tày		Nam
28	Hà Văn Quyền		Thái		Nam
29	Bùi Văn Bồi		Tày		Nam
30	Triệu Thị Máy		Dao		Nữ
Thị Trấn Khánh Yên, Huyện Văn Bàn, Tỉnh Lào Cai					
1	Phan Chí Thon		Tày		Nam
2	Phan Công Thương		Tày		Nam
3	La Văn Quân		Tày		Nam
4	La Văn Nghiệm		Tày		Nam
5	Lục Văn Hoàn		Giáy		Nam
6	Hoàng Quang Vinh		Tày		Nam
7	Lục Thị Hải		Giáy		Nữ
8	Sầm Văn Quy		Giáy		Nam
	Nhóm 2				
9	Lương Thị Đêm		Giáy		Nữ
10	Nguyễn Thị Nghiên		Giáy		Nữ
11	Sầm Thị Quỳnh		Giáy		Nữ
12	Phan Thị Tới		Giáy		Nữ
13	Lương Thị Sến		Giáy		Nữ

Name	Age	Male	Female	Kinh	Ethnic	Occupation	Category of HH
Minh Luong commune - Van Ban Distric - Lao Cai province							
Hoàng văn Tuyên	45	Male			Ethnic	Farmer	AP
Nguyễn Thị Nam	39		Female	Kinh		Farmer	Non AP
Hoàng Thị Tím	45	Male			Ethnic	Farmer	Non AP

Name	Age	Male	Female	Kinh	Ethnic	Occupation	Category of HH
Hoàng Thị Tiếp	32		Female		Ethnic	Farmer	Non AP
Hoàng Thị Tiệp	31	Male			Ethnic	Farmer	Non AP
Dương Thị Nam	37		Female		Ethnic	Farmer	Non AP
Nguyễn Thị Phương	37		Female	Kinh		Farmer	Non AP
Hoàng Thị Chiến	43		Female		Ethnic	Farmer	Non AP
Hoàng Thị Tuyết	41		Female		Ethnic	Farmer	Non AP
Hoàng Thị Thuận	40		Female		Ethnic	Farmer	Non AP
Sầm Thị Hiền	40		Female		Ethnic	Farmer	Non AP
Vương Thị Phái	25		Female		Ethnic	Farmer	Non AP
Dương Thị Ty	34		Female		Ethnic	Farmer	Non AP
Lương Thị Phìn	23		Female		Ethnic	Farmer	AP
Hoàng Thị Thoa	26		Female		Ethnic	Farmer	Non AP
Sầm Thị Khởi	33		Female		Ethnic	Farmer	AP
Sầm Thị Trinh	27		Female		Ethnic	Farmer	AP
Hoàng Thị Xuyên	40		Female		Ethnic	Farmer	AP
Hứa Thị Na	48		Female		Ethnic	Farmer	AP
La Thị Tất	50		Female		Ethnic	Farmer	AP
Ngô Thị Nguyễn	32		Female	Kinh		Farmer	AP
Hà Thị Thích	37		Female		Ethnic	Farmer	AP

Name	Age	Male	Female	Kinh	Ethnic	Ocupation	Category of HH
Lò Thị Hoa	33		Female		Ethnic	Farmer	AP
Sầm Thị Lánh	32		Female		Ethnic	Farmer	AP
Vương Thị Dương	21		Female		Ethnic	Farmer	Non AP
Vương Thị Mai	24		Female		Ethnic	Farmer	Non AP
Dương Thị Dự	25		Female		Ethnic	Farmer	Non AP
Hoàng Thị Liên	28		Female		Ethnic	Farmer	Non AP
Vương Thị Thu	30		Female		Ethnic	Farmer	Non AP
Sầm Thị Hà	29		Female		Ethnic	Farmer	Non AP
Sub total	30	3	27	3	27		

Poor HHs.in Minh Luong commune, Van Ban district, Lao Cai province

Vương Thị Thịnh	45		Female		Ethnic	Farmer	Non AP
Dương Thị Hòa	22		Female		Ethnic	Farmer	Non AP
Dương Thị Quy	34		Female		Ethnic	Farmer	Non AP
Sầm Thị Hinh	26		Female		Ethnic	Farmer	Non AP
Trần Thị Ngãi	23		Female	Kinh		Farmer	AP
La Thị Siên	34		Female		Ethnic	Farmer	Non AP
Nguyễn Thị Trân	41		Female	Kinh		Small business	AP
Hoàng Thị Mậu	30		Female		Ethnic	Farmer	Non AP
Lò Thị Dung	34		Female		Ethnic	Farmer	Non AP
Dư Thị Nhung	45		Female		Ethnic	Farmer	Non AP

Name	Age	Male	Female	Kinh	Ethnic	Ocupation	Category of HH
Hoàng Thị Hoa	35		Female		Ethnic	Farmer	Non AP
Lê thị May	37		Female		Ethnic	Small business	Non AP
Hoàng Thị Tím	45		Female		Ethnic	Farmer	Non AP
Hoàng Văn Điện	34	Male			Ethnic	Farmer	Non AP
Sầm Văn Toan	32	Male			Ethnic	Farmer	AP
Hoàng Văn Quỳnh	40	Male			Ethnic	Farmer	Non AP
Hứa Văn Tuấn	33	Male			Ethnic	Farmer	Non AP
Lê văn Thiết	37	Male		Kinh		Farmer	Non AP
Sầm Văn Miên	39	Male			Ethnic	Farmer	AP
Hoàng văn Đại	25	Male			Ethnic	Farmer	AP
Hoàng Quyết Thắng	34	Male			Ethnic	Farmer	AP
Lò văn Hoàn	25	Male			Ethnic	Farmer	Non AP
Sầm Văn Tôn	29	Male			Ethnic	Farmer	Non AP
Hoàng văn Minh	43	Male			Ethnic	Service	AP
Sầm văn Thực	39	Male			Ethnic	Service	AP
Sub total	25	12	13	3	22		
Ethnic group							
Nông Xuân Điếng	32	Male			Ethnic	Farmer	AP

Name	Age	Male	Female	Kinh	Ethnic	Occupation	Category of HH
Hoàng Văn Tuyên	37	Male			Ethnic	Small business	AP
Hoàng Thị Tiễn	31		Female		Ethnic	Farmer	AP
Sầm Thị Khởi	33		Female		Ethnic	Farmer	Non AP
Lương Thị Phìn	40		Female		Ethnic	Farmer	Non AP
Hoàng Văn Điện	34	Male			Ethnic	Farmer	Non AP
Lục Thị Nguyệt	42		Female		Ethnic	Farmer	Non AP
Sầm Văn Toàn	35	Male			Ethnic	Farmer	AP
Sầm Văn Miên	38	Male			Ethnic	Farmer	AP
Sầm Văn Thịnh	27	Male			Ethnic	Small business	AP
Hoàng Văn Quỳnh	39	Male			Ethnic	Service	AP
Lò Thị Hoa	32		Female		Ethnic	Service	AP
Vương Thị Dương	27		Female		Ethnic	Farmer	Non AP
Vương Thị Nai	19		Female		Ethnic	Farmer	AP
Sầm Thị Lánh	29		Female		Ethnic	Farmer	AP
Lò Thị Xiên	33		Female		Ethnic	Small business	AP
Lò Văn Hình	43	Male			Ethnic	Farmer	Non AP
Sầm Bá Hoàn	49	Male			Ethnic	Farmer	AP
Lục Thị Thi	32		Female		Ethnic	Farmer	AP
Hoàng Văn Hải	39	Male			Ethnic	Farmer	Non AP
Hà Thị Lưu	33		Female		Ethnic	Farmer	Non AP

Name	Age	Male	Female	Kinh	Ethnic	Occupation	Category of HH
Lò văn Thiết	28	Male			Ethnic	Farmer	Non AP
Lò Văn Hay	32	Male			Ethnic	Farmer	Non AP
Hoàng văn Thu	35	Male			Ethnic	Farmer	Non AP
Hoàng Thị Nguyệt	26		Female		Ethnic	Farmer	Non AP
Sầm Văn Tuyển	31	Male			Ethnic	Small business	AP
Trương Thị Mán	45		Female		Ethnic	Farmer	AP
Sub total	27	14	13		27		
Ethnic group in Nam Xe commune, Van Ban district, Lao Cai Province							
Lý A Tráng	35	Male			Ethnic	Farmer	AP
Lý Thị Sai	27		Female		Ethnic	Farmer	AP
Hồ Xuân Đào	29	Male		Kinh		Farmer	AP
Hoàng Thị mấn	34		Female		Ethnic	Farmer	AP
Lý Thị Phái	30		Female		Ethnic	Farmer	Non AP
Triệu Văn Hùng	44	Male			Ethnic	Farmer	Non AP
Bàn Xuân Nhĩ	19	Male			Ethnic	Farmer	Non AP
Lò Thị Duyên	25		Female		Ethnic	Farmer	Non AP
Lý A Diên	34	Male			Ethnic	Farmer	Non AP
Lý Thị Dợ	37		Female		Ethnic	Farmer	Non AP
Triệu Thị Sính	39		Female		Ethnic	Farmer	Non AP
Hà Văn Thành	42	Male			Ethnic	Farmer	AP

Name	Age	Male	Female	Kinh	Ethnic	Occupation	Category of HH
Vàng thị Ởn	49		Female		Ethnic	Farmer	Non AP
Lý A Thanh	35	Male			Ethnic	Farmer	Non AP
Triệu Văn Sào	36	Male			Ethnic	Farmer	Non AP
Định Thị Than	29		Female		Ethnic	Farmer	Non AP
Triệu Thị Văn	27		Female		Ethnic	Farmer	Non AP
Vũ Thị Nhàn	39		Female		Ethnic	Farmer	Non AP
Vàng Thị Mây	41		Female		Ethnic	Farmer	Non AP
Triệu Văn Hoa	32	Male			Ethnic	Farmer	Non AP
Hoàng Thị Măng	25		Female		Ethnic	Farmer	Non AP
Triệu Thị Hoa	27		Female		Ethnic	Farmer	Non AP
Triệu Văn Thăng	25	Male			Ethnic	Farmer	Non AP
Sub total	23	10	13	1	22		
Poor HH group in Nam Xe commune, Van Ban district, Lao Cai Province							
Bàn Thị Mùi	40		Female		Ethnic	Farmer	AP
Triệu Trung Thanh	32	Male			Ethnic	Farmer	AP
Lý A Đù	50	Male			Ethnic	Farmer	AP
Trần Thị Uyên	27		Female	Kinh		Farmer	AP
Triệu Thị Mắm	45		Female		Ethnic	Farmer	Non AP
Vàng A Tôn	34	Male			Ethnic	Farmer	Non AP
Hà Văn Thủy	30	Male			Ethnic	Farmer	AP

Name	Age	Male	Female	Kinh	Ethnic	Occupation	Category of HH
Hồ Xuân Đào	29	Male		Kinh		Farmer	AP
Lý A Sinh	51	Male			Ethnic	Farmer	Non AP
Giàng Thị Dính	47		Female		Ethnic	Farmer	Non AP
Lý Thị Dợ	38		Female		Ethnic	Farmer	Non AP
Bàn Xuân Nhỉ	46	Male			Ethnic	Farmer	AP
Sầm Văn Tuyên	28	Male			Ethnic	Farmer	Non AP
Vàng Thị Phái	33		Female		Ethnic	Farmer	AP
Hà Đình nguyên	36	Male			Ethnic	Farmer	Non AP
Vi Thị So	41		Female		Ethnic	Farmer	Non AP
Hoàng Trung Thành	33	Male			Ethnic	Farmer	Non AP
Triệu Văn Hiền	39	Male			Ethnic	Farmer	Non AP
Vàng A Vàng	52	Male			Ethnic	Farmer	AP
Tiêu Thị Mán	39		Female		Ethnic	Farmer	AP
Lý A Páo	41	Male			Ethnic	Farmer	AP
Lý A Tiến	36	Male			Farmer, planting tea tree	Farmer	Non AP
Lý Thị Mùi	45		Female		Ethnic	Farmer	Non AP
Triệu Văn Lương	26	Male			Ethnic	Small business	AP
Bàn Thị Tư	34		Female		Ethnic	Motocycle repair	AP
Sub total	25	15	10	2	23		
TOTAL	130	54	76	9	121		

FOCUS GROUP DISCUSSION NOTES

GROUP DISCUSSION WITH DAO PEOPLE COMMUNITY - KHE LECH VILLAGE - SON THUY COMMUNE

1. Discussion contents:

· Causes of poverty:

Reasons for poverty:

- The poverty rate of the village is very high (about 60% households are poor and near-poor), but no household suffers from hunger;
 - + Poverty due to lack of productive land.
 - Most of Khe Lech villagers don't have adequate land for cultivation. They are only allocated with about 300m² – up to 2 “sào”/ household of water fields but only 70% of households have fields. Average productivity is about 2 quintals per “sào”;
 - There are hill lands but too steep and not all households have hill lands;
 - All lands are on high hill, which is difficult to cultivate. Only can be used for maize planting. A household has about 1 ha of hill land and only about 65% of households have this type of land.
 - Previously, every household had more than 3 ha of forest land, but now it has been acquired to exploit iron ore.
 - People now do not have productive land but are unable to be employed by mining company because they do not have techniques and skills.
 - All compensation money has been used to buy consumer goods such as motorcycles, karaoke machines without any investment into jobs conversion or business so compensation has now been used up;
 - Severe weather (influenced by Lao winds causing crops or livestock to die).
 - + Education level of people is low, not receiving scientific and technological progress.
 - + Limited trade and commerce. The commune has no market so there is no condition for trading. The product sold is little or being sold at cheap price, while people have to buy things at high price.
- Field is watery as it is close to river. This year, many households will be deeper in poverty again because recent flood has rolled sandy soil into field; and there are pieces of land slipped away;
- Approximately once a year, extension workers come to provide training to farmers. Sometimes farmer group leaders are invited to training courses conducted in Van Ban town and disseminated to farmer households later;
 - Limited access to training courses on planting techniques, caring for seedlings etc.
 - In the village, people can only work as hired labor far away from home, and have no other choice of employment.
 - Most of healthy men work away from home in other places, in or outside the province, or in China. All ethnic groups have people going to work in China, of which Mong people go to work in China the most, Xa people also go to China; Tay and Dao people also do;
 - There are also women working as hired laborers in China, some households with both spouses working there; We go to find a job in China by ourselves after hearing stories from others, Salary is agreed with employers, but there is a person here who does not receive money and has to leave for home due to too hard work;
 - Domestically, people are mainly employed as construction workers, men are paid at 170,000 VND per day. Women are unable to do this job as it is too hard work;
 - Besides working as hired laborers, people can only raise livestock for income. Livestock are now facing many difficulties because there are no grazing areas, only can raise some types of poultry and livestock such as pigs and chickens. However, income from this activity is not much due to epidemics, lack of knowledge on husbandry and cultivation.

- There are 14 villages in commune but with only 1 veterinarian, 14-15 km away. There are only 2 vaccinations in a whole year, mainly for buffaloes/cows. For other cattle and poultry, we inject vaccinations by ourselves with guidance of medicine sellers.
- At present, people should raise chickens, ducks and geese only because it is possible to dig pond, creating water surface for raising; they are also easy to sell to buy rice and for monthly fee;
- There are over 100 workers elsewhere coming to work for the mine, mainly Kinh people, they and local community also live together united without contradictory. There are only 2 people in the commune employed by mining company, one in Khe Nhoi village, Xa Pho ethnicity - at cooking job and one in Khe Lam village - Dao ethnicity as guard;
- As the town market is 7km away, road condition is not difficult so Dao ethnic people residing in villages along 279 roads, can go shopping, trading in Khanh Yen town market, while other ethnic groups residing in inner villages, go shopping in Vo Lao commune market (about 12km from Son Thuy commune);
- The market in town is mainly for buying consumer goods in our family, while Vo Lao market is mainly for meeting up with friends and making new friends;
- Anytime we produce products or commodities, they will be bought at door. We don't know and don't care much about if the price is higher or lower than the market price, since people in our village often exchange these products at that price;

Credit access

- More than 80% of households borrowed from the Bank for Social Policies, which was guaranteed by the Youth Union. Some households borrow 45 million VND, some borrow 30 million VND or 50 million VND; these loans are for 5 years at 0.66% interest. Interest is paid on monthly basis, principal is paid in installments. Some households also have the demand to borrow but haven't received any, since the Bank is afraid that they are too poor to be able to pay loans. Poor and near-poor households are required to have labors to borrow a loan. Some households borrowed to buy buffaloes, but after that the buffaloes were stolen, which make it difficult for them to repay the loans. Some households are not ready to borrow, since they are afraid that they cannot pay or they do not know what to do with the loan.
- Some households borrowed to repair their houses.
- 50% of the participants of the group discussion told that the loans are ineffective for expansion of their production. The reasons are (i) small loans (an amount of 50 million VND is not enough to buy neither land nor machinery); (ii) there is not much grazing land available left, so it's quite unhelpful to increase the number of buffaloes and cows;

Where can poverty be seen?

- Since there is not much land, most households are lack of rice for about three to five months in the pre-harvest periods of April and October. Therefore, they have to use their remuneration to buy rice. Every year, poor households receive rice support (15kg/person/month for 6 months per year) and Tet gifts (300,000 VND) from the government. Only 5 poor households who are single-headed or female-headed households received rice.
- In the village, there are no children dropping from primary school or secondary school. Most children go to work after finishing grade 9 because attending high school or higher doesn't secure a better job here;
- Siblings and relatives also give financial help to each other. However, these borrowings are often small and for a short time since but also only short and short loans, because they don't have much abundant money.
- No one in the village can borrow money from the Agricultural Bank because these are mortgaged loans while they haven't had any certificate of land use right;
- It's the same distance (7km) from the village to the commune health center or the district hospital, so most people choose the district hospital. There are also many drugstores so they can buy medicines themselves. Besides, Dao people have some herbal remedies, so they often use medicinal plants instead of going to the commune health center.

- All the women in the village have their children delivered in the district hospital. The Women's Union has never provided any training courses in reproductive health or nutrition for babies. Child-rearing here is mostly based on mothers' instinct and experience.
- Dao people are the poorest in the commune due to lack of productive land; and they are even poorer than Xa Pho people. In terms of Kinh people, it's not suitable to access since there is only one Kinh household in the village.

Concerns about impacts/risks caused by project implementation?

- They worry that land acquisition for road construction will make the land shortage more extreme;
- A new road will make it more convenient to travel to town but it is associated with the concern of increasing traffic accidents;
- If the project is in need of manual labors, they should hire the locals in the village, not outsiders. If they hire workers, they have to inform and register with the authorities.

Recommendation for support:

- Vocational training for the locals should be associated with post-training support (i.e. job support).
- Training on plantation and care of fruit trees; or to invite experts to access the soil in this area, then advise on appropriate plants to cultivate.

GROUP FOCUS DISCUSSION WITH YAO WOMEN - KHE LECH VILLAGE - SON THUY COMMUNE

Causes of poverty:

- The poverty rate of the village is very high (about 60% of poor and near-poor households). The reason is lack of productive land. There are households without productive land; no farmland. In the whole village, there are 12 female households without land, including one single-female household; for the remaining women, because of getting married far away from their family, but their husband died or they divorced, they return to live in the village. So they have no land.

In addition to the lack of land, the exploitation of forest products in the forest is also no longer. The first reason is that forest land has been recovered for ore mining; the second reason is that the forest resources are exhausted, even if they go away, they will not get bamboo shoots, mushrooms or honey as before;

Many women also go to China to work, but they will go back after 2-3 months but only young women aged 18 to 25. There are also 1-2 people in the village, but there are many women going to China in the commune;

Most women finished grade 9, but they are young women. Everyone can speak Vietnamese fluently but a few people are able to read, especially those aged 45 and over. There are also loudspeakers in the village, but the village is quite large so they do not use loudspeakers for propaganda. Although everyone has a cell phone but they cannot send the message because not everyone can read the message;

The Women's Union does not provide training courses on reproductive health, nutrition or breeding and farming techniques. In the past, there was a World Bank poverty reduction program, not everyone could be involved in training on cultivation.

Yao women are less likely to have access to training courses on how to grow, care for seedlings ...

Other issues:

- When women give birth at district hospital, there is no difference from Kinh people or other ethnic groups, and doctors still take care of them as usual. Because of having health insurance, they do not have to pay hospital fees, they can take drugs under the insurance, or if they do not want, they can hold the doctor's application and go out to buy.

In the village, children are allowed to go to school, girls are also allowed to go to school but they are not allowed to go to high school because if they go to high school, many families cannot afford to pay for school fees.

Sale or production, and meeting are decided by the husband. Some men who also love their wives help wives some tasks, but the majority of them do nothing, except working at farmland or work as hired labors. There are also many husbands who beat their wives, "it's a dog-eat-dog world", no one told the Women's Association that they were beaten by the husband.

There is no early marriage phenomenon, Girls must be 17 years old or older to get married and have children.

Women also have loans but many households do not dare to borrow, in the group, 05 women said that they do not dare to borrow loans because they do not know what to do so they do not borrow, they fear they will not be able to afford;

There are no drug traffickers and HIV-infected people in the village. There are no girls tricked into selling to China. In this village, going to China is voluntary, get yourself and apply for a job. In the village there are some women who have children without husbands, but no one is discriminated against. Some poor-female households are also received rice by the government. All poor households also received money on Tet holiday;

Women would like to hear the training on livestock. They want to raise chickens and ducks, also want to grow fruit trees, but do not know what kind of plants. Previously, there was a project to support the planting of orange, but after that, no one bought, so people did not plant orange trees.

Normally, the women are allowed to participate in meetings and social activities on Tet holiday and March 8th, 20th of October. The village women's union organizes meetings, contributes food and drinks for karaoke.

MINUTES OF GROUP DISCUSSION

KHANH YEN TOWN – VAN BAN DISTRICT – LAO CAI

○ **Poverty and reasons:**

- There are 114 households in the village, including 49 poor households. These households are poor mainly due to sickness, inability to work, big family, lack of agricultural, and difficulties encountered in developing other livelihoods.

- The area of agricultural land of Ma 2 village is small (since Ma 2 village used to be included in Ma 1 and then separated into a new village) and rice is the only crop cultivated there.

- Hills are slope but only *acacia* and *Vernicia montana* are planted. Some villagers have tried growing cinnamon but failed because the soil is too hot.

- Livestock farming is mainly pig raising and chicken raising. Over the past few years, the price of pigs is too low so pig breeding is dwindling. Last year, villagers had to butcher pigs themselves to eat because the more pigs they raise, the more losses they had to suffer.

- Buffaloes are used for pulling plows but the number of buffaloes is small due to the small area of pasture. In the past few years, people have had to even sell some buffaloes.

- The income of households in the village is mainly from livestock raising, working for others and trading.

- The government recently handed over forest to the villagers for protection and supervision at the remuneration rate of only 50,000 VND/year/ha. There are 145 hectares of forest land in the village, but only 95 hectares are forest areas, so the total remuneration is only more than 4 million VND per year. This amount is not sufficient to be distributed to households, so they agreed to use it for community activities in the village (i.e. liturgies).

- About 20% of the villagers (both men and women) work as seasonal workers in the district or in Hanoi. Young people go to work in some companies in provinces in the plain. Some people (mainly in Nam Co village) work in China. Both wives and husbands go to work. Average remuneration rates are 200,000 VND/ day for men and 150,000 VND / day for women.

- Some people having worked in China didn't receive enough remuneration when they came back home. For example, one has agreed to work for 3 months for 25 million VND, but after 3 months, the employer only paid them 50% of the agreed amount. The retained amount is to make the workers continue to work for them later.

- People going to work in China by themselves, without recruiters and without informing the authorities;

- Sometimes people used go to forest for bamboo shoots (average earning is less than 100,000 VND/day). However, from 2015 onwards, all bamboo in the Van Ban district bloomed and died, so there were no more bamboo shoots. Recently, bamboo shoots are developing again, so they're still very small and rare;

- The town authority also offers vocational training, but its quality is not high and not everyone is invited to join. People have little access to training courses on how to grow and cultivate seedlings.

○ **Borrowings:**

- Most people borrow from banks. They are allowed to borrow VND 30 million to VND 50 million per household, however, due to low level of education, they don't know how to use the funds effectively and failed in investment. In addition, some people borrow their family and relatives ... but the amount is small.

- The town has developed a model of culinary culture with entertainment, cultural performances and cuisine of Giay people, but after two months from operation, people are less curious and don't come anymore. Another cause of failure is lack of awareness and

environmental sanitation. For example, while guests were eating at a Giay's house on stilts, a neighbor washed his pigsty, so those guests didn't come back anymore;

- Because our village is right in Khanh Yen town, access to infrastructure is convenient. But in the village there are no products that can be sold. Maize is the main crop on the upland land, where people come in for purchase and prices are unchanged;

- Vegetables and chickens if brought directly to markets, because each household often has only 5 bunches of vegetables each day so it is often sold out easily.

- Last year, there was no demand of pigs, so villagers had to butcher their own pigs for pork.

- o **Other issues**

- There are 114 households, of which 50% belong to the Tay ethnic group, 50% belong to the Giay ethnic group. The poverty levels of the two groups are the same. Giay people in Ma 2 village are poorer than Giay people in Ma 1 because they have far less agricultural land.

- It's impossible to compare to the Kinh people in the town, because the Kinh people are very good at studying and trading, and many of them are working as officials;

- No students drop out of school. But few people go to high school or college. Some young people attending kindergarten but still do not have a job. Most children go to kindergarten, except those without birth certificate. But every child has chance to go to school;

- Most patients choose the district hospital because of proximity and convenience. The cost of hospitalization is covered by health insurance;

- Giay and Tay people live in harmony. There is no marriage between the two people of the two ethnic groups in the village. The reason is likely that they live in the same village, not because they hate each other. Giay people in the village still marry the Kinh, Mong, Dao and other people.

- There are no concern about the road. Just hope that road will be completed faster for easier travelling.

- **Recommendation:**

- Set up cooperatives, breeding models, production models; guide people how to grow plants and breed animals, how to prevent and cure diseases of plants and animals.

- Organize vocational training courses.

- Provided people with job opportunities.

· MINUTES OF DISCUSSION OF WOMEN GROUP

· IN KHANH YEN TOWN - VAN BAN DISTRICT - LAO CAI

· **Poverty, Causes of poverty:**

- In the village there are about 15-16 households (12-13%) without agricultural land. Of which, there are 5 female households without land, the reason is that they got married in another place, now they come back so they have no land.
- Among the poor households, there are about 7 - 8 female-headed households, many of whom are not able to work.

· **Cultivation, livestock:**

- Livestock is mainly cattle (1-2 heads), raising pigs and chickens.
- Forests: Production forests planted by farmers, the main ones are mỗ (Manglietia conifera), trầu (Vernicia montana), lát (Chukrasia tabularis), xoan (Meliaceae), bamboo.
- Area of agricultural land: 300m²/person. Mainly rice.
- The whole village has about 145ha of forest land.

· **Income:**

- Mainly from cultivation, husbandry and hired labor. The benefits of natural forests are very limited (bamboo shoots, vầu (Bambusa nutans) ...), because four years ago, they were dead.
- Average wage: men: 170,000/day, women: 80-100,000 / day

· **Training courses on cultivation and livestock?**

- Extension workers sometimes guide on cultivation and livestock, but mainly village cadres learned from training courses and then shared with farmers.
- However, most people still grow plants and raise livestock in the traditional way
- Due to less forest land, the number of cows and buffaloes is reduced.
- Pig raising is devalued last year. Therefore, in the locality, it is very difficult to expand the large-scale farming model, some household raise a small number of pigs, chickens, ducks.

· **Loans:**

- Poor/near poor households can borrow up to VND 50 million.
- Those households who have escaped from poverty and want to borrow money for economic development, Vietnam Social Policy Bank does not provide loans. Borrowing money from other banks must be mortgaged, People do not have a red book to mortgage.
- Borrow to buy buffaloes, invest in breeding facilities.

· **Voice, the role of women in the family:**

- Today, in the family, woman has voice in all works.
- Income of women is gradually increasing. Therefore, they also keep their voice in the family.
- However, some of the main jobs or social engagements are mostly male.
- Also, women are not allowed to participate the worshipping ceremony of the village. Women are not allowed to enter the shrine and they have to avoid the shrine
- Men with pregnant wife cannot enter the shrine;
- Young women now get married early; even some people have children aged 3 years old, they are old enough to register their marriage (18 years). Many people told their parents that their parents have to allow them to get married. When they are 22 years they leave their husband. Many people go to China or go to Hanoi, they do not miss, their children;
- Women go to district hospital for antenatal care and giving birth,
- Hospital is near the village, it is easily accessible.

- **Expectation/proposal?**

- They would like to establish mushroom growing models, there must be experts in organizing training courses, teaching them how to raise livestock, and to produce the products, ensuring the outputs of the products.

MINUTES OF GROUP DISCUSSION IN HOA MAC COMMUNE - VAN BAN DISTRICT - LAO CAI

2. Discussion contents:

Causes of poverty:

- Lack of arable land
- There are sick people in household
- Misfortunes in life: accidents, floods causing loss of crops, loss of land

What are the main causes of poverty in the locality?

- Due to business loss, epidemic in livestock farming such as in fish farming.
- Technique in cultivation and livestock farming of people is limited.
- Many customs are outdated, awareness of people is limited, there are training on farming and animal husbandry technique but people only partially acquired.
- The natural conditions are not favorable, many land areas are barren, or flood and landslides-prone.
- Some households do not have enough land for production.
- Production is just enough to eat, there is no left to sell, but when in need money for children schooling or shopping for Tet, still have to sell some.

Access to markets for agricultural inputs and products (road conditions, market information [types of goods, prices], distance to markets)? What is difference between buying and selling agricultural products at home/market/district market?

- There is no market around here, people have to go to Van Ban district for selling goods. If building market in commune, will only attract people from villages to come. Besides, here every house makes food by their own, then if building a market, there will be only people bringing goods to sell but no one from other places coming to buy. People can bring goods to district market to sell, or sell to other households around here.
- Going down to district market of 6 km away, traveling is convenient but the price is no difference. For instance, selling in the commune at VND 5,000, it is the same in Van Ban district market.
- There are 3 slaughterhouses in the commune before bringing for sale at district market. Households that need to buy meat can buy right at the slaughterhouse.

Type of agricultural land (soil condition, slope, access to water source); Cultivation methods and major crops;

- People mostly cultivate rice, corn and sweet potato. They rely heavily on experience. Recently, in the commune and village, there is a linkage model to grow sweet potato. An agricultural company stands to sign contract farming with farmers. Households do not know what company they are but they work through commune and commune informs the households. Some households in the village do not participate in this model because they still hesitate to plant due to concern that no one would come to buy in the end. Last year, in the commune, several villages were experimented with “rami” planting to make materials for some plant. Households in my village do not participate in because there is no more land available for planting.
- Many households have enough land to produce but their lands are too barren or flood-prone. Irrigation water is temporarily enough but difficulty is the lack of clean water for domestic use, although there are ditches.

Understanding level of agricultural techniques (techniques for existing production, skills for new production or agricultural diversification); The number of training courses and extension courses participated in the past year; effectiveness of training;

- Every year there is a training course on livestock and crops. Training classes are on cultivation by crops and disease prevention in livestock. However, awareness of people is

very limited, so they can't remember all things taught when attending courses in classes, sometimes they do not apply as instructed. Some training organized for village heads and a number of selected people, not all, so many times trainees disseminated to other households not completely like what taught in training classes. In-class training is not as effective as direct training on farms for farmers.

- Extension work has not been as effective as in plain area, extension workers are not really enthusiastic; sometimes we call several times they do not go down to our houses.

Access to capital; loan size, interest rate, loan period. Effectiveness?

- In the commune, many households borrow money. Households borrow mainly from policy banks and commercial banks. Maximum loan amount is 50 million VND. Many households borrow to buy breeding buffalo. Borrowing is also very difficult, some households want to borrow money to build a house but prepared loan application from last Lunar August but so far has not been borrowed.

Non-agricultural livelihood opportunities (i) existing employment/self-employment opportunities are not met due to education level, capital sources etc. or (ii) very limited non-agricultural opportunities in the area)

Many people here go to work far away from home for companies, mainly as workers. Those who cannot work as workers due to low education or old age works as hired labor in the commune or down to Lao Cai. They only work in the country, not going to China, other communes have people working in China but none in my commune. In the past, there were programs of the district Social Labor Division to organize labor export but not many people participated in, none in my commune, as people were unsure what it would be like to work overseas.

Language

People here speak Kinh language and mother tongue equally well in terms of both speaking and listening. People do not have language difficulties in their lives or work. In families with young children, they mainly use Kinh language because children have to use it when going to school, while older households use mainly Tay language.

- ***Expressions of poverty***

Food security - Hunger period of the year (what to eat instead of rice)? How many months of food shortage? Support from authorities and organizations or communities for hunger households

- Households with limited production land are short of food for a few months in the year. When they run out of rice, they have to work as hired laborers to make money to buy food. Old people stay at home while their children go to work as hired laborers. Some households are involved in livestock raising, but in small scale.

- Hunger households are often poor ones. We see that they are supported by general policy such as with seedling, fertilizer, money for rice at hunger period and for Lunar New Year. In the village, there are no households lacking food but unable to find money to buy rice.

Debt ((bank debt? Debt of credit institution? borrow brothers, relatives? Buy on credit from food sellers or agricultural suppliers? Is there any one having to sell "young rice"? Is it required to have collateral for loan?

- For loans in agricultural banks, the application must include priced assets and collateral, hence interest rate is low, but not all households can borrow. Some households in need for money have to borrow money from places where they do not require collateral, but interest rates are high. There are households borrowing daily interest loans with interest rates of 5,000 VND/1 million VND/day.

- Agricultural supplies are purchased on credit through the village. Make payment upon crop harvest. Households who do not have money have to sell harvest rice to pay

back. If out of rice, going to work as hired laborers to earn money later. Buying on credit through village is also subject to interest, often each kilogram of fertilizer with interest of 2,000 VND.

- There are cases of selling young rice in the area, many households in need for money have to sell also. The price of young rice is much lower than that of ripe. As ripe rice price is 50,000 VND, but young rice costs only 20,000 - 30,000 VND/kg.

Eduction level? Number of children dropping out of primary and secondary school and causes

- There is no case of children dropping out of primary and secondary school. More boys go to high school, then go to work as worker.

Are some ethnic minority groups more poverty-prone than others? How to compare poverty of EM with Kinh people in the region? If different, reasons?

- There are two main ethnic groups: Kinh and Tay people, Kinh people always have better economic conditions, better knowledge of all aspects, better business skills and with children of higher education than other ethnic groups.

- **Vulnerability issues**

Access to and quality of local social services (health, education)

- When the disease is mild, people go to commune health centers, seriously ill with the need to use machinery to diagnose, people go to district hospital for medical treatment. It is easy to access to commune health center or district hospital without any difficulty

- Primary and secondary schools are available in each commune, and high school is available in the district. When children go to school in the district, parents are worried about traffic accidents when traveling on road. Many people rent house for their children in the district and pick them in weekend.

- Two years ago, the commune made gravity water system but finished for 3 days then water has not flown up to now.

- **Project impacts**

- People are also excited about the road construction, which will create favorable conditions for transportation and trade, but there are also concerns about changes in life and an increase in traffic accidents.

- Village 5 lost a lot of land, village 2 has about 10 graves near the road. Graves moving requires many complicated procedures, each grave moving must have a separate ceremony. Grave moving is also expensive, it takes 2 days in which a day to prepare items from the day before. To move a grave, it costs more than 10 million VND, and much work.

- Concern about loss of land, families also have to find new livelihoods and it takes time to stabilize life.

- In the past, there was fighting of workers due to drunken drinking causing disorder in the commune. If coming road construction to manage workers well, not letting them go out at night, there should not worry about contradictory between workers and people. Some previous works employed local laborers, only technicians were hired in other places so there was not much trouble. If workers come here, people are also concerned about rising of social evils

- People should also be prepared psychologically for workers, strangers to come living in the area when building roads and then they can have more initiative.

- **Recommendations**

- The project should develop models for contract farming for farmers.

- Technical training courses should be also available, but training courses should be offered in the form of on-farm training and farmer field school so that farmers can observe and practice better.

- Apart from technical training on cultivation and husbandry, it is also better to organize vocational training courses as agriculture is highly dependent on weather and many households are landless.
- Wish to access to low-interest loans with simple procedures.
- The communication on HIV prevention must be carried out in the long run, not only upon workers arrival, there should be training courses on HIV prevention and reproductive health for adolescents.
- Contractors must work with the commune security group to manage employees.

MINUTES OF FOCUS GROUP DISCUSSION (FGD) IN TAN THUONG COMMUNE - VAN BAN DISTRICT - LAO CAI

3. Contents of discussion:

Causes of Poverty:

What are the main causes of poverty in your area?

There are many causes of poverty in the local area:

- Families those are newly formed, new child, lack of land for agriculture production
- Elderly household without main laborer. Many households are consisting of old grandparents and two grandchildren.
- Families with preferential treatment policy
- Many poor women headed households with small children.
- Natural disasters causing landslide is attributable to the recurrent poverty. Soil erosion happens due road altitude is lower than the ditches' and the culvert is blocked.
- Due to drug addiction, laziness, drinking all day long, 2-3 villagers fall into these bad habits.
- There are families making a lot of money, but don't know how to spend properly, wherein the married couples do not know how to get along together, so they cannot save money.

Access to markets for input materials and agricultural products (road conditions, market information [types of goods, prices], distance to markets)? Differences between selling price of agricultural products at home/market/district market?

In the area there is no market, so we need go to the market in Tan An commune, where is 3 km far from the commune. Households that need to buy anything usually go there to shop.

The people grow many cassava, The main crops are rice and cassava. The prices are different between selling at hill and selling at the place of purchase. Cassava sold at processing mill is 12,000 VND/kg, while on the hill is 9,000 VND/kg, the difference is due to delivery fee.

Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops;

Rice and cassava are the main agricultural crops. The soil quality is good, the terrain is slope, and can be easily fertilized to grow the crops. There are many rice fields in this area, however, water is not enough in some places so these are not productive. My family has two field parcels waiting for water to produce. We grow cassava on hill. On the allocated forest land, the allocated households planted forest trees such as acacia, cinnamon, storax, etc. Forestland owners get together during afforestation process to help each other i.e. when digging holes, planting trees and looking after the trees for one another. Some households grow fruit trees such as seedless persimmon.

Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training;

Each year, the commune organizes 1 to 2 training courses on cultivation and livestock. Some of them, including the village chief, were sent out for training courses organized by the Center for Vocational Training and Extension.

In addition to rice and cassava, persimmon is also planted by several households. Persimmon growing requires large land area as well as capital, so only a few families can invest. In the commune, there is a household growing about 2 hectares of persimmon, and earning more than 200 million VND a year. This family has been planting persimmon for a long time, this is not popular in the commune.

Know how to plant and care for the plants?

Everyone receives some information on planting and tending techniques but farming is still practiced based on their experience. It is possible that for that reason, the productivity is not high, yet we cannot follow the instruction of the newly introduced techniques since we are not familiar with them.

Access to sources of capital; loan size, interest rate, loan period. Effectiveness?

There are many loan programs but we don't need loans. There are households that really need to borrow money, and they can get the loans under poor household category, from Vietnam Bank for Social Policy (VBSP), or Women Union's funds.

Interest rate for poor households of VBSP is 0.55%, of BIDV is 0.65%/month and of Agribank is 0.95%/month. Loan procedures are easy, if the family has collateral, it can get loan from BIDV or Agribank. Poor households can send application for loan to the commune, chief of village and the commune people committee guarantee the loans for them. In the village there are more than 10 poor households who apply for loans. Their main purposes are to build houses, and and buffalo. Borrowers who buy buffalo have good return. Households who buy buffalo to reproduce, can repay the principle and get some profits after 3 years.

Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)

Many people go to work away from home, but some of them are not used to working in the company. There are cases when some people return home after a month, they explained that they are not used to one hour nap at work since they are usually sleep longer at home.

There are also people who go to China for paid jobs, mainly doing simple things like planting trees and packing ice cream in ice cream factories. Going to work in China is more moneytised than working in Vietnam. The salary of a worker is about 10 million VND/ month. Many people illegally migrates to China to work as paid employees. Many people who do not neither speak fluent King or Chinese but can get jobs there because of the simplicity of the jobs, which do not need much skill.

Women are less likely to go to China for hired jobs, those who are married try to get jobs in their spare time. In the family, the husband go out to work. Some girls go to works for the restaurants along the highway but there are not many of them.

Near the commune there is one phosphate fertilizer processing factory, some young people here are working in the factory.

How does poverty show

- Food security – poorest periods in one year (to the extend that villagers have to eat something instead of rice)? How many months of food shortage? Support from the local authorities and organizations or communities for undernourished households

There are many poor households in the village. They have to skip the meals during the times between two crops. Some households have their children go out to work to send to the parents, and other households have to work as paid employees.

The local authorities only supports poor ranked households when they have no rice to eat, the support is in cash. Other households are not supported. They should borrow money to buy food and then get paid jobs to repay the money later.

Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any “selling rice before harvesting” practice? Collateral for the debt?

At present, many households are in debt with the fertilizer dealers, at the end of the year, they should sell the products to them in deduction of the debt at higher prices charged for the fertilizer, i.e. the original price is 40,000 VND/kg, and will be calculated as 42,000 - 43,000 VND/kg at the end of the year. Many households are sick and need money, they should borrow money from creditors, or from relatives. The creditors charge interest rate of 20,000 VND/1 million VND debt/month. Relatives also charge interest, but at a cheaper rate from 10,000 - 15,000VND/month.

Educational level? Number of children dropping out of primary school, secondary school and the causes

Children are getting good support for education from their families, there is no dropout in primary or secondary schools except only one case of a girl dropped out to go with her mother to work in China. That family is very poor, father died soon so she should quit schooling to work. The dropout rate is much higher at upper secondary school.

Are some ethnic minority (EM) groups more vulnerable and poorer than others? How to compare the poverty of EM with Kinh people in the region? If different, why?

Hmong people are poorer than other ethnic groups. They live in the villages located up in the mountainous area which are remote from the center. When it rains, we cannot go to their villages. In Hmong village, there is no electricity.

· Vulnerability issues

Access to and quality of local social services (health, education)

Some villages near the commune center have no difficulty in getting children to go to school or go for medical treatment. Hmong people have more difficulties.

Experiences with occupancy and cultural differences

There is not much dispute between the ethnic minority groups here.

Project impacts

They are also concerned about many possible problems with the project:

When the Noi Bai - Lao Cai expressway was built, there was no problem, but once the road is formed, it is more complicated, and prostitution is emerging. Previously, it was already like that. Because of the proximity to Bao Ha temple, it attracted many guests, when the expressway was completed, guests are more. When the road construction is finished, it is possible the even more people will come.

It might be the case that the project construction during flooding season will block the ditches due to materials flowing. Expressways make many families have deserted the field, many farmers have not yet transplanted the rice seedlings because the field was flooded. We are worrying that this road will be flooded.

There are many drug addicts here both the villagers and outsiders. Many died because of drug shock. Needles were littered in many places, especially the place where the banks of the stream that make people are afraid. With convenient road, the more the social evils will show up, pubs get opened, then many young people will be attracted compete.

Previously, the expressway construction project paid low compensation was low. At the present, 4 out of 10 households have no land for production. People are having more convenient traveling, but living is more difficult, people are poorer. Many families have no land for separated bathroom or warehouse or animal housing next to their houses. Sanitation works must be narrowed.

In the commune, some people were sold to China. In 2011, while the expressway were under construction, one person was missing. Advocacy about human trafficking is essential for young people.

· Suggestions:

- People should be educated and trained in planting techniques and crop varieties to get out of poverty, such as the persimmon trees that some households have planted; or training courses on livestock.

- It is recommended to invest more in substation so that all households have electricity for production and living

- When constructing roads, local labors should be recruited.

- Organizing vocational training and job introduction for workers. Previously, there were sewing training course was provided, to that credit, many people go to work for garment factory in Hanoi.

- When building roads, attention should be paid to construction restrictions during cassava harvesting.

- Proposing some training courses, information on compensation prices and land prices. For unproductive field due to land acquisition, landslides, compensation must be considered.

- Organizing a training course on cinnamon growing and fruit tree planting for the local people.

MINUTES OF WOMEN GROUP DISCUSSION IN TAN THUONG COMMUNE, VAN BAN DISTRICT, LAO CAI

Causes of poverty:

Many households are really poor due to low income, no money, little land, sick people in family, spouses do not consent on business doing.

Investment in education for boys and girls:

Most families do not discriminate between boys and girls in investment in education, sons or daughters able to learn will be sent to schools. In the meantime, some households tend to make more investment for boys, as girls after finishing school will get married anyway.

Conflict solving in the community:

In the village those who are prestigious, older people or respected by many people in the village, will be invited to reconciliation, as Village patriarch for instance. Each village has 1 Village patriarch, who is also a shaman. In the village there are 4 - 5 other shamans.

When the family has conflicts, couple is in contention, fighting, clan chief will also come to reconcile, analyze, but not all households listen to the opinion of their clan chief. When the family quarrels, the women's union also come to counsel but sometimes the family reacts sharply or reprimands.

Project impacts:

Women group also heard about the project information but it is unclear how the family will be affected.

About outside workers moving to commune for constructing roads: Local social situation is now complex, social evils are already in place, women worry during road construction, vices will increase. Local social vices: drug addiction, prostitution also. In a village there are 5 to 6 people who are addicted to drugs. Drug addicts often go to main road to buy drugs, prostitutes are from other places. For the girls in the range from 1995 to 1999, many of them go to work in karaoke bar for 2 - 3 months continuously without caring for husband and children.

Environmental concerns: Impact of dust, noise. People also worry that construction of the road also affects waterway in field. In 2008, ground clearance caused loss to people. Field inundation made it unable to cultivate. Road 279 embankment has affected the water level into field. In addition, waste of construction materials on the road flowing to the field also affects productivity of crops, soil quality, and many households have to abandon their field.

Gender equality:

When participating in village meetings or training, women in the village often participate more than men, mainly women.

When dividing property, daughters are rarely divided with land. Some wealthy family will give the daughters with some assets. I think the girls married to the husband's house who also have land, so don't need to divide land for her. Husband and wife if divorce will also not be allocated with land for production by the court.

Recommendations:

- To organize communication about project activities, its impacts on households. As people don't know to analyze problems.
- It is necessary to organize communication on reproductive health and social evils for people, especially young people, as we can't force them not to do something.
- Project road construction should use local labor to create more jobs and income for people.
- It is important to publicize the compensation policy and compensation rate of each household. In addition, compensation should be made for the area of land not acquired but affected by the project road construction.

MINUTES OF GROUP DISCUSSION IN DUONG QUY COMMUNE - VAN BAN DISTRICT - LAO CAI

Causes of poverty:

What are the main causes of poverty in the locality?

- Limited arable land;
- Poor soil
- Traffic roads are difficult

Lack of productive land while many family members; Raising children to school but the children have graduated but have not found a stable job, and are working as hired labor or workers with precarious wages.

Many new crops are brought to the locality but people do not know cultivation techniques. Cultivation is based mainly on self-accumulated experience of households in production. Natural conditions are not favorable. Agriculture production is much dependent on weather and nature, last year crop was failed.

Traffic is difficult, which hinders exchange and trading of people. Most produce is just enough to eat in households. Households with excess output for sale are often traders in the area, mainly Kinh people often squeeze price in trading. Some households call outside people come to buy their agricultural products, but local trader in the area stopped them, not let them go into the commune for purchasing. If the household sells agricultural products to the market, high transport cost makes it unprofitable. If household sells goods to the market, many people do not have a motorbike license, going to the highway they will be arrested by police, afraid of fines of several hundred thousand, then selling goods is not enough to cover cost; this is also a barrier for business and trading of people.

In the commune, Xa Pho people are the ethnic minority people with the lowest economic conditions, poorer than other ethnic groups.

Causes of poverty:

Their education level is low, not know how to apply science and technology, outdated customs, funeral meals often last for months and gambling issues for instance.

Access to markets for agricultural inputs and products (road conditions, market information [types of goods, prices], distance to markets)? What is difference between buying and selling agricultural products at home/market/district market?

There is a market in place but it is difficult to access, small market gate, located on the slope road to the commune. Currently the market is abandoned because the location is not suitable, the access road is not convenient for travel and due to low demand of people.

Roads to villages are very difficult, so people find it difficult to sell agricultural products. Apart from rice and maize, some products can be sold like: cardamom, sweet bamboo shoot. Rice and maize are made only for family use not for sale but if selling the price is low because many trader layers involve. Traders often squeeze price so people have many difficulties. Cardamom price is much squeezed by traders.

Price of agricultural products is unstable, last year was 400,000 VND/ 1 kg of dried cardamom, this year it is only 150,000 VND / kg.

Type of agricultural land (soil condition, slope, access to water source); Cultivation methods and major crops;

Agricultural land is mainly on hill, terraced fields on steep slope. Water source mainly depends on weather. The irrigation system is limited because it is terraced field, so water supply for irrigation is mainly dependent on weather conditions.

Regarding farming methods: mainly one year with 2 rice crops. The main crop is still rice. In addition there are some other plants such as cardamom, bamboo shoots.

Understanding level of agricultural techniques (techniques for existing production, skills for new production or agricultural diversification); The number of training courses and extension courses participated in the past year; effectiveness of training;

There were also some training courses on animal husbandry; However, livestock farming is difficult as animals die because of disease (goat farming training). Through loudspeaker, people is informed about disease but many times they do not notice.

Techniques of planting or raising livestock are mainly self-control, self-management, with limited techniques, and experience-based. Local officers lack attention, implementation of agricultural extension of the commune has not met requirements. In plain area, commune clearly informs the day of sowing, transplanting, but communes here don't do that. People sometimes leave rice seedlings growing too old when get transplanted.

Extension workers are not enthusiastic, when livestock is sick, must call veterinarian up to 3 times then they arrive. **Generally speaking, there must be on-farm training, farmer field school, science and technology have not been applied.** There was time extension workers introduced to farmers a new sweet potatoes variety, they brought to plant, but 3 months later can harvest only greens without any sweet potatoes.

Know how to plant and care for crops?

We plant and care for our seedlings by our own experience, and are not trained, guided by local officers, people here just follow conventional ways of farming. This makes quality of cropping is not high, so yield is not much.

Likewise with breedings, when there is disease problem, call veterinary staff but also not resolved, then we have to solve ourselves.

Access to capital; loan size, interest rate, loan period. Effectiveness?

- In addition, most people still have to borrow money from the Bank, 99% of households have ever accessed loans from banks. Procedures and policies are applied for all objects, interest rates are also reasonable.

- Loan purpose of households is also diversified, loans for building houses, loans for production, animal husbandry etc. There are households borrowing loans to do business but not profitable and lost capital.

Non-agricultural livelihood opportunities (i) existing employment/self-employment opportunities are not met due to education level, capital sources etc. or (ii) very limited non-agricultural opportunities in the area)

Most of them work as hired laborers to earn more income, do a lot of different jobs in different places, and do not have any non-agricultural livelihood opportunities except for hired laborers. 90% of households have members working as hired laborers, they go anywhere there is work. Mostly go to work as porters and builders.

Young high school graduates often go to work in other provinces. About 7-8 years ago young people started to work as workers.

Expressions of poverty

- ***Food security - Hunger period of the year (what to eat instead of rice)? How many months of food shortage? Support from authorities and organizations or communities for hunger households***

- Always in hunger situation. A household has 4 people but only 1 production land lot (1"sào"). Shortage of food for 10 months per year, must buy rice to eat.

- My family lacks food from February onward, has to buy rice from outside. Have to buy rice but have no money, we have to work as hired labor to earn money to buy rice. Selling green rice (young rice) to traders, we sell at cheap price, but buy rice expensively.

- Local government support is only available to poor households, and support is generally provided under common policies such as electricity bills and salt rather than support for food shortages.

Debt ((bank debt? Debt of credit institution? borrow brothers, relatives? Buy on credit from food sellers or agricultural suppliers? Is there any one having to sell "young rice"? Is it required to have collateral for loan?

- Some households have to sell green rice (that is, pledge the rice field for money for medical treatment, agricultural materials, rice to eat etc.) to get cash for urgent work. Mostly sell to Kinh people living in this area. Selling price is very low compared to market price, just

over 50% of market price. Rice not yet ripe sold for 30,000 VND/kg, while in harvest season, price on market is 50,000 VND/kg.

- When in need for money, households can hardly borrow from cousins because everyone has difficulties like them.
- Some households borrow 1 million VND from outside for 1 day with interest rate of 5,000 - 7,000 VND. When borrowing from outside, you do not need a collateral
- When borrowing from banks, they require collateral or credit lending with commune leaders confirmation.

Education level? Number of children dropping out of primary and secondary school and causes

- Most of them graduated from secondary school, only one or two dropped out of secondary school because they could not learn. Policy households are also entitled to general education. Few drop out of school because of lazy learning.

Are some ethnic minority groups more poverty-prone than others? How to compare poverty of EM with Kinh people in the region? If different, reasons?

- There is a difference between poverty among ethnic minority groups. In the commune, Xa Pho and Black Thai ethnic group, are the poorest in comparison with other ethnic minority groups. Xa Pho people is in the most remote village of commune, with difficult road conditions. Men in these areas often drink alcohol and gamble, people still maintain old habits of living such as wedding meals often last for months hence they're poor.

- **Vulnerability issues**

- *Access to and quality of local social services (health, education)*
- Access to local social services is pretty good. Having education system (from secondary school downwards) in the commune, and with communal health centers;
- Malnutrition in children is still present. Delivery mainly at health centers, pregnant women are fully vaccinated.
- Poor HHs are provided with health insurance cards, however, when they come to health centers, they are still not well-dosed, lightly dosed, and takes longer to recover than buying medicine at pharmacy.

Experience with occupancy and cultural differences

No concern for strangers to come for construction, and affect lives and activities of people, because local security system (Commune Police) is tight, awareness and education level of people are better off. Even this helps people sell more goods.

Security can be affected such as theft hence should be managed tightly. Currently, social evils are less than before, there are also some drug addicts, committed to vice due to human consciousness.

There is concern about security as there have been hydroelectric projects in the past, occurring fighting between workers and village boys because of drinking, and then workers courtship, teased girls in the village.

- **Project impacts**

- Upgrading roads makes people very excited and thankful for the State's support for more convenient business doing in the locality. During road construction, many households can sell more agricultural products such as chicken, duck.
- However, adverse impact is that burglary and theft may increase especially near roads and roads near protection forest.
- There is almost no cultural contradictory between local people and those from other places (only need to note some cultural habits such as removing footwear before going up house on stilts, do not come near altar, etc.).)
- When construction affects the graves, construction unit needs to have appropriate solutions, avoid conflicts with local people (such as paying money to move graves, do procedures like worshipping before relocation of graves, etc.)
- Issues of social security and order when workers come for construction is unavoidable. However, if security is tightened, frequent checks, communication will minimize this impact.

• **Recommendations:**

Women and children trafficking (especially with Xa Pho) still occurs but not much. If the project is implemented locally, it is necessary to strictly manage construction team or other people, to avoid trafficking of women and children across border.

- Strictly manage those from construction sites to steal local assets and wood.
- If the project is implemented, it is necessary to create conditions to utilize local labor force to create jobs for them.
- After completing the road, it is necessary to communicate and disseminate on grazing cattle, avoid phenomenon of cattle letting on the road, causing traffic accidents. Currently, many people do not have a motorbike license.
- It is essential that the project to organize training on HIV prevention, but the most important thing is people consciousness. Distribution of condoms to workers and people is also essential.

MINUTES OF FOCUS GROUP DISCUSSION OF WOMEN GROUP IN DUONG QUY COMMUNE, VAN BAN DISTRICT, LAO CAI

Causes of Poverty in the area

- no land, no labor
- don't know how to do business

Other issues:

For Tay people, after their parents passed away or their children get married and split to form a new family, the daughters do not entitled to inherit their parents' assets. Women are also not allowed to have their names in the red books (nevertheless, in new red book certification, both husband and wife will be named). Most divorced women return home to live with their parents. If the parents die, she may get some land at the merci of her brothers, if not, she is not allow to ask for it.

For my case, when I got married, my parents gave me a land parcel that was equal with that of my brothers'. Although there was no red book but we had no dispute over the ownership, our brothers just accepted our parents' decision. In this group (FGD), there is other woman whose husband died, she is supported by her family by giving she some production land area.

Investment in education between sons and daughters:

I want to give my daughter higher education so that she can find a better job. Employers nowadays require qualifications and certificates all the time. Many people still think that they will let their sons to study more than daughters because the girl is going to get married anyway.

Solving conflicts in the community:

When conflicts occur, family leaders or prestigious people in the community have a more important voice than local mass organizations. Prestige people in the community are knowledgeable people who are both economically fit and, well educated and well-behaved, with good family life.

Voices of women in the community:

Women most of the time do not have the voice in dealing with family's important matters, men have the decisive voice. Even when one couple discuss, if they can not agree with each other, the husband will have the right to give the final word. Our community is patriarchal, all the house works are to be covered by women. When both husband and wife coming home from a long working day, for instance, the wife has to cook meal and take care of the house while the husband sits in front of a TV or hangs out, he is not willing to give hand to take care of the house stuffs and the children.

Taking care of children and educating them are mainly obligated by women but more serious issues i.e. dropout of school, early love of their children, etc. will be dealt with by men. The children are more afraid of their dad than mom because the latter is softer.

Woman has no right to stand up if her husband has adultery affair, whereas, the husband prohibits his wife to talk or meet with other man, if the husband is in love with another woman, his wife cannot do anything. There is man who takes his mistress home to stay, his wife has to accept it in fear that if they divorce, she cannot afford to bring up the children. Women Union staff came to their house to talk but they could not change him.

Who are the main participants in the activities such as training courses in livestock, production?

Women are more participating in training courses in livestock and production. Training courses on gender equality need to be provided more.

MINUTES OF FOCUS GROUP DISCUSSION (FGD) IN THAM DUONG COMMUNE - VAN BAN DISTRICT - LAO CAI

4. Contents of discussion:

Causes of Poverty: What are the main causes of poverty in your area?

- The poverty rate in the commune is about 36 - 37%.
- Poor households are families with many illnesses, unable to work.
- Households are considered poor by the number of small children.
- Because there is not enough land for agricultural production, not enough rice to eat.
- Roads are difficult to access, so it is difficult for them to sell their extra products.

Access to markets for input materials and agricultural products (road conditions, market information [types of goods, prices], distance to markets)? Differences between selling price of agricultural products at home/market/district market?

- In the area there is no market, but we need go to the market in Duong Quy commune.
- Products that are made are for family use only, not for commerce. Even though we try to sell, no one will buy, vegetables, for instance, are for family use or give to other villagers. If we should sell cassava, corn to get some money, if we sell here, the prices are very low.
- The rice harvested is only enough to use, not enough to sell. It is not profitable to grow rice for sale, because the revenue cannot cover the costs of fertilizers and pesticides.

Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops;

Agricultural land here is mainly hilly, and terraced because of sloping land. Water for production is very difficult, mainly depends on the weather. The irrigation system is not available because of terraced fields. Water is available only where the land is not so slope and more convenient for ditches

Rice and cassava are the main agricultural crops. At present, many households in the commune and hamlet are planting local sticky rice, namely Khau Tan Don sticky rice. This kind of sticky rice is very delicious, with quality stay put for two days, unlike the other sticky rice. It has geographic indication. Since the geographical indications preparation is finished, its price goes up from 120,000VND/10kg to 150,000VND/10kg. Even sticky rice is not consumed as often as normal rice in daily meals, but the price is better. If the road is better, the trading will be more convenient.

Some households have forest land, but they leave the land empty because they do not know what kind of trees are suitable. They are very afraid that the investment on the land will be higher than the revenue.

Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training;

Each year, the commune organizes some training courses on cultivation. But only one person from one commune, i.e. the village chief, was sent out for training courses organized by the District Division of Agriculture on new rice varieties growing techniques, we villagers did not get invited to the training courses. The chief of village made some debriefing sessions with us on the techniques that he got trained, but we don't quite understand.

Know how to plant and care for the plants?

Farming is still based on traditional experiences without receiving instructions from extension staff. For new rice varieties, we receive some information on transplanting the rice seedlings, but the tending remain traditional.

Access to sources of capital; loan size, interest rate, loan period. Effectiveness?

Up to 90% of households have borrowed from the banks. Now many of them are having loans with not very high interest rates, the interest rates are commonly applied.

Access to loans is quite easy. If borrowing from a commercial bank, the applied family must have property or a red book for mortgage. If borrowing from the Vietnam Bank for Social Policy, the family only need to submit the application to the Commune Peoples Committee for a loan. At the acceptance of the application, the family will get the loan.

Some villagers have low educational level, they get loans but do not know how to use the money, they get into troubles by natural calamities, risks (livestock died). There is one family who cannot repay the bank loan for years. The amount of money that the bank counts from the loan amount, the interest charged and fees for extension procedure (people do not know how the loan will be proceeded and accounted) from the time of borrowing up to now is ten times higher than the original amount. We do not know if this household can paid money and do not know if they can be freed from the debt due to poverty.

Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area)

The majority of people work in agriculture sector. During leisure time, they come to forest to collect firewood or bamboo shoots. However, there are less firewood and bamboo shoots in the forest than before.

Some healthy men go to work in the city, work as bricklayers, mortar preparers, porters for many employers. Some people also work as paid employees in China, we do not know exactly how they get to China, but it is possible that they went to Lao Cai and then cross the border.

There are a number of youngsters who finished lower or upper secondary schools (mostly the latter) went to work for some factories in the downstream areas (mainly for Samsung company).

· **How does poverty show**

Food security – poorest periods in one year (to the extend that villagers have to eat something instead of rice?)? How many months of food shortage? Support from the local authorities and organizations or communities for undernourished households

There are still a number of households lacking food. They can lack food for 3 months in a year. They have to work as hired labor for rice. In most of the case, the husband in family goes out for work and the wife stays at home to look after children and the housework.

Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any “selling rice before harvesting” practice? Collateral for the debt?

There are many families who have bank loan for years, most of them can afford paying back both interest and principle, but the others are in debt for quite a long time. The loan from the beginning is small, but the amount grows as many years passed without repayment and the households are not able to pay.

If a family needs a decent amount of money, they can borrow relatives, but sometimes they don't have money to lend as they are also poor, event the amount is a few hundred thousand VND. Loans from relatives are easy to pay because it is not much.

In the village there are households who have to sell rice before harvesting, mostly to the Kinh businessmen in the commune. These people also lend money and charge very high interest rates. Without collateral, the interest rate is 3-5,000 VND charged on 1 million VND/day. Selling rice before harvesting is underpriced with about 30,000 VND/10kg of rice while the normal price is 50,000 VND/10 kg of= rice. Borrowing money of Kinh people does not need a mortgage, they can lend the money very quickly if they consider that the loan can be repaid, but interest is too high.

Educational level? Number of children dropping out of primary school, secondary school and the causes

There are no children dropout in primary or secondary school. They all tend to finish grade 9. The percentage of children quitting in upper secondary school is very small.

Are some ethnic minority (EM) groups more vulnerable and poorer than others? How to compare the poverty of EM with Kinh people in the region? If different, why?

Tay people have a higher proportion of the poor than those of other ethnic groups (6 ethnic minority groups in the commune). Dao people have potential of natural resources, they have hilly land area where they can grow cardamom; raise goats and buffaloes. The Tay people live in lowland areas, they can only grow rice and maize, but the soil is poor and irrigation is not convenient.

Many drug users are Tay youngsters, there are more of them among Tay than in other ethnic minority groups, .

- **Vulnerability issues**

- ***Access to and quality of local social services (health, education)***

At the commune level, there are school subsidiaries of primary and lower secondary level so children can commute very convenient. There is a health clinic in the commune. However, as regulated by the health clinic, only 1 free treatment per visit per month, patients have to buy medicine at pharmacies from second visit upwards. The medical station is short of medicines, we should buy medicines outside. The dose is not so effective. Persons with chronic illness should go to hospital which is more expensive. Our people here are covered by health insurance so they can afford medical treatment.

There are many malnourished children in the area, it is because difficult economic conditions, and the parents have no proper child care skills.

Vaccination is adequate; most of sick persons go to commune health clinic for treatment. At present, women are no longer giving birth at home. Newborn infant death case in two years is zero.

- ***Experiences with occupancy and cultural differences***

There are cultural gaps between different ethnic minority groups, but they are not so many since they have been living together for a long time.

- **Project impacts**

During project implementation, as there would be many workers working here, it would be more favorable for the business households because there are more buyers. In case the local people are hired to work for the project, they would have more income.

The local people are concerned about the immigrants who may cause security disorder and life disturbances. To avoid this situation, strict control and involvement from the police and the commune authorities would be needed. In addition, they are worried that the daughters of ethnic people would be enticed by the workers, who are often of smooth-tongued types. The innocent girls would fall in love with the workers, resulting in bad love stories. Previously there was a road construction project here, there were some married couple who decided to divorce after being flirted by the construction workers. Road construction may cause increased traffic accidents

The resettled households worry that they will lose their land and their houses and if they would get satisfactory compensation. Once they lose their houses, they do not know where to go.

- **Suggestions**

- The local people wish to have vocational trainings, more jobs and employment opportunities in companies or processing zones.
- They also desire to have a stop-station on the commune road for introduction of local products such as sticky rice, bamboo sprouts, fruits, etc. to customers.
- There should be trainings for women to be aware of the temptation.
- The people and the construction workers should not be propagandized to avoid illegal relations, avoiding unfortunate consequences.
- Traffic safety measures such as banners, slogans, or loudspeaker systems are needed

GROUP DISCUSSION WITH WOMEN THAM DUONG COMMUNE, VAN BAN DISTRICT

Causes of poverty:

- Some members of the family are sick; lack of labors;
- Lack of productive land.

Main crops

Main plants are rice, corn and forest trees. Khau Tan Don (*Khẩu Tan Đón*) sticky rice, a specialty of the commune, has been invested by People's Committee of Van Ban district to expand production.

Previously, Khau Tan Don sticky rice plantation was not popular, each family cultivated only a small rice field for holidays, Tet (Lunar New Year's Day) or special occasions of their own family (e.g. weddings), not for sale in markets. In 2011, Lao Cai province built a sticky rice growing model of Khau Tan Don in Tham Duong with an area of 35 hectares. This is part of a project of producing high quality rice to facilitate production based on value chains, and to help local people aware of economic benefits of growing specialty sticky rice. Therefore, people's living standards have been better thanks to this kind of products;

Customs and traditions:

When getting married or divorcing, most women are not distributed any assets. Certificates of land use rights are not in the name of any woman.

Education:

Boys and girls are treated equally in terms of going to school, as long as they have the ability to learn and their family can afford school fees.

Women's rights:

In most cases, husbands are the decision makers in families, especially for important affairs. Women's Union doesn't really have a voice in reconciliation of conflicts. However, most women often resign themselves, so family conflicts are quite rare.

Recommendations:

- It should be necessary to require attendance and signatures of both husband and wife to receive compensation payments from the project. This aims to avoid the case husbands receive money covertly and spend on unnecessary things themselves.
- Transparency is crucial during the implementation of compensation, including land and assets on land. There should be public notice and announcement in the office of People's Committee, clearly stating the rates and compensation amounts for people to conveniently follow and monitor themselves.
- Direct supervision at all levels, such as district and commune level, is needed in compensation, to prevent some people from making a rake-off from compensation payment of people.

MINUTES OF FOCUS GROUP DISCUSSION IN LANG GIANG COMMUNE –VAN BAN DISTRICT – LAO CAI

5. Discussion contents

· Causes of Poverty:

: What are the main causes of poverty in your area?

There are many causes to poverty in the locality:

- Lack of labors. The husband died early and the wife alone raised their children.
- Lack of production lands
- Lack of cultivation and livestock techniques
- Unfavorable weather, heavy rain, and soil erosion affect lands and crops.

Access to markets for input materials and agricultural products (road conditions, market information [types of goods, prices], distance to markets)? Differences between selling price of agricultural products at home/market/district market?

The selling and buying agricultural products here are quite easy due to its proximity to district market. If someone wants to sell some rice, maize or potatoes, he/she can sell them in the district market at no less different prices. The farmer households will register with the village chief for the purchase of fertilizers or seeds. The payment can be paid as late as summer crop rather than at the time of the buying. Immediate payment can be reduced as much as 2,000 VND per kg compared to delayed payment.

Crop products have no access to market. It happened once that the commune guided the garlic planting, yet when it is harvested nobody come to buy. We cannot sell much in the market as well as we cannot eat too much. As a result, garlics are thrown out in the stream.

Agricultural land features (soil condition, slope, access to water sources); Cultivation methods and major crops;

The lands here are mostly sloping and steep. Most of local households have enough land to cultivate. Water for production is mainly fetched from rivulets and rainwater harvesting. Irrigation systems are not available.

Besides rice, most of the local people here grow maize and potatoes. Hemp is being introduced to the locality as trial model. Farmers mainly grow maize for self-sufficiency and very few households have excessive maize to sell in the markets.

Level of understanding of agricultural techniques (techniques for the existing production, skills for new production or agricultural diversification); Number of training and extension courses participated in last year; effectiveness of training;

Trees and plants grown by local people still suffer pests and diseases and died excessively due to untimely detection of disease and promptly treatments. The same thing happens to the livestock when all goats funded in one livestock program (2 goats each household) suffer Foot-and-mouth disease 2 month after the start of the model. Most of households participated in this goat support program. When the goat got sick, local people asked the extension staff for treatment and prevention measures yet they have not yet come to see the animals and only tell the farmers to buy medicines from the pharmacy. At present, only few households have healthy goats to raise.

The commune also have some training activities on cultivation and livestock for farmers. Local farmers are not satisfied with the way of the training is delivered as their awareness is limited and training only provide theoretical guidance in the meeting room rather than spending time in the fields.

The main crop here is rice. Rice crop can suffer drought and crop loss is faced. The commune also guided farmer in the planting of other crops yet not profitable due to there is no buyer.

Know how to plant and care for the plants?

Cultivation and caring skills the crops of local people here is limited. Crop productivity is low. Sometimes fruit trees do not have fruits or damaged by pests and farmers do not know how to prevent timely.

Access to sources of capital; loan size, interest rate, loan period. Effectiveness?

Local people borrow loans from Social policy banks and Vietnam Agricultural Bank. The loans interest rate is 0.9% or 0.87% per month. Households usually borrow as much as 20-30 million VND for economic development, raising buffalo and cows. The investment of 30 million VND is not enough for buffalo raising because buffalo barns have to be built and there may be cost incurred. 30 million VND is only enough to buy one young buffalo. There are about 3 households who can borrow 50 million VND for the model. It is thought that buffalo raising model may require a loan of 50 million VND.

Non-agricultural livelihood opportunities (i) existing employment/employment opportunities that are not available due to education, funding, etc. or (ii) very limited off-farm opportunities in the area

During leisure time, farmers work as hired laborers such as builders, bricklayer, porter or any hired jobs. Some people go to working in industrial zones. Some young people also found a hired job in China.

- ***How does poverty show***

- ***Food security – poorest periods in one year (to the extent that villagers have to eat something instead of rice?)? How many months of food shortage? Support from the local authorities and organizations or communities for undernourished households***

There are still a number of households lacking food during the pre-harvest period and they have to work as hired labor for rice. They can lack food for long or short time. Some households are in short of food for 5-6 months in a year. And as a result, all these households have to work as hired laborers. Their neighbors cannot help them much because they also suffer the same hunger. Supports from the commune government to these houses are unknown.

Debts (Bank debt? From credit institution? From relatives? From food or agricultural material sellers?) Is there any “selling rice before harvesting” practice? Collateral for the debt?

Local people get loans from Social Policy bank and Agricultural and Rural Development Bank. Loans from Agricultural and Rural Development Bank required a mortgage and with high interest rate. If they cannot get a loan from banks, they can borrow money from other people in the village. These lenders are Kinh people who have a money for lending yet at high interest rates and mortgage is not necessary. Some households also have to sell their unharvested crops if they need money urgently.

Educational level? Number of children dropping out of primary school, secondary school and the causes

Fewer children dropping out of primary school, secondary school than before in the commune area. The reason is due to their families are poor, their parents ask them to quit schools to financially support the families and the tuitions are considered too high, their parents cannot afford.

Are some ethnic minority (EM) groups more vulnerable and poorer than others? How to compare the poverty of EM with Kinh people in the region? If different, why?

All ethnic minority groups here are similar. Kinh people are better off than the rest.

- ***Vulnerability issues***

Access to and quality of local social services (health, education)

Schools and health clinics in the commune are pretty good, there is no worry about education and healthcare. If one gets sick, he can come to the commune health clinic or district hospital which is nearby. The State give some financial support for ethnic minority people for disease treatment. Even some persons who come to stay in the hospital for treatment for 10 days, they still can bring back some extra money with them.

There are many school subsidiaries, so it is convenient for the children to schooling.

Experiences with occupancy and cultural differences

- ***Project impacts***

Local people are concerned about possible issues in the project:

- They are also concerned about many possible problems with the project:
- Family life is disturbed when the project is implemented: some households located along the road front for 54 years and the road across the house has been expanded for 4 times and they are constantly affected by landslide. Each road expansion, the road advanced for 3 m into their houses. The road expansion last year encroached as long as 5m into the house. The houses have to move backward every year after each road expansion and now they cannot move backward anymore as the stream is right after the houses and they may have no where to live.
- They are concerned about their land use right certificate if the project acquires lands.
- Many households are not concerned about workers coming to work in the commune because there are commune security officers who will take care of the issue.
- **Suggestions:**
- The project should develop economic development models for the choice of local people which is suitable to their local environment and climate. Villagers can make changes or adjustments to the development of the models.
- The project should have training courses on cultivation and livestock so that farmers can develop their economy. The training classes provide farmer field schools and give farmers direct instructions in fields. Moreover, after these training courses, the support of extension officers is necessary to provide further guidance to individual households.
- The assistance policy to the poor should be public and transparent
- Provide full and early information about the project to local people relating to commencement time, finishing time, compensation policy of the project etc. All must be publicly posted.
- Support to local people through vocational training such as hydropower engineering etc.
- When the project acquire lands from local people, they should be supported in the revision of their land use right certificates.
- The compensation of the recovered land for the road construction must be transparent and public. People who cannot afford the relocation, there should be some financial support with sufficient amount in accordance with market prices.
- The project implementation should use local labors for their incomes generation.

**GROUP DISCUSSION WITH WOMEN
LANG GIANG COMMUNE, VAN BAN DISTRICT**

Causes of poverty:

- Husband died early, young children.
- Lack of productive land, lack of labours
- Lack of capital to raise livestock.

Other issues:

Women have to do a lot of things (after getting back home from farming, they still have to do all the household chores such as cooking, washing and caring for their children). Husbands only do heavy work, but there is much heavy work to do. Men have time relaxing, but women don't. Everything is depend on husbands' decision.

Education and health care

Children are equally educated, regardless of boys or girls. However, boys often get further education than girls. This is not because their families do not allow their daughters to learn, but they stop themselves.

Pregnant no longer give birth at home since they all go to the health centre. Regarding traumatic births, they will be delivered to the district hospital. The road to the hospital is relatively convenient (the route from the village to the commune is quite difficult but the highway from the commune is very easy to travel).

Concerns about the project:

- My house is only 10m from the road. Every time they construct the road, they take part of my land. If they are going to take my land one more time, I don't know where to live then, since I'm out of the land to build a new house.
- We worry that the workers coming here will disturb our daily lives and social problems (e.g. theft) will occur more.
- It takes some time to stabilize our daily lives. Some households want to distribute land to their children, but after hearing about the project, they do not know how to divide, as it is related to land compensation.
- If husbands take all compensation money and spend it all themselves, there will be no money left to cover costs of living and others.

Recommendations:

- If the project is implemented, its milestones (e.g. commencement and implementation time) should be informed to people so that they can make plans to stabilize their lives. For example, some people want to repair their house but they are not allowed to do that, since the government says that their house is in the planning zone.
- During construction of the road, officials of the commune and managers of workers need to strictly manage workers to ensure security in the village and avoid social issues.
- There should be training courses for people, especially women, on techniques for planting new species. These training courses should be conducted in the commune so that many people can participate. Otherwise, only few people can go if the courses are in the district.
- The project should provide preferential loans for women to facilitate their production.
- The project should raise awareness of young people to prevent social problems (e.g. drug addiction and prostitution), to prevent sexually transmitted diseases...

Appendix 4: Communication, Participation and Consultation Plan

Communication, Participation and Consultation Plan

1. Purpose of the Communication and Participation Plan

277. The purpose of the CPC is to ensure that project stakeholders as well as people living in the affected communities are appropriately consulted and informed of the various project activities along with potential impacts. The CPC also aims to ensure that stakeholders have the opportunity to participate and provide input in to the design of project features and activities related to them. Ultimately, analysis and consultation improves the quality of decisions, minimizes disruption during implementation, and by involving citizens in decisions that affect their lives makes a key contribution to good governance.

2. Objectives and Principles of the Communication and Participation Plan

278. The ADB Safeguards Policy Statement requires that projects having impacts related to environment, involuntary resettlement or ethnic minorities undertake meaningful consultation. Meaningful consultation is 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. ADB requires borrowers/clients to engage with communities, groups, or people affected by proposed projects, and with civil society through information disclosure, consultation, and informed participation in a manner commensurate with the risks to and impacts on affected communities.

279. Consistent with these efforts, the objectives of the consultation, participation and communication plan and related stakeholder communication strategy are to:

- fully disclose information on the proposed project, its components, and its activities with the beneficiary communities and stakeholders;
- obtain information about the opinions, needs and priorities of beneficiary communities and stakeholders;
- solicit input and feedback on beneficial and mitigation measures;
- encourage the participation of beneficiary communities and stakeholders in project activities that affect or could benefit them such as civil works construction, road safety awareness, awareness raising activities, and monitoring;
- obtain the cooperation of beneficiary communities and stakeholders for activities required to be undertaken for project planning and implementation;
- establish a clear, easily accessible and effective grievance redress mechanism; and
- ensure transparency in all project activities.

3. Means of Communication

280. Various means of communication can be applied depending of the communication objectives as well as constraints in time or resources. The following participation techniques can be used:

- **Information Dissemination and Information Sharing Using Media:** this technique can be used to inform the stakeholders on project status, action taken, results of activities and similar. This technique can use either written (information brochures, fact sheets, newsletter, newspaper, radio, and website). Public notice boards, such as at district and commune offices can be used to publically post written information.

Public information, education and communication printed material, should incorporate posters and brochures which drawings and diagrams.

- **Consultation and Discussion Meetings:** These involve face-to-face meetings with stakeholders. Public or small group meetings targeting the community should be held in convenient locations and times to promote participation. Community level meetings have the advantage of overcoming gaps in literacy capabilities and enable the use of local ethnic languages.
- **Information Gathering:** quantitative and qualitative information about projects, needs, best practices, etc., can be gathered either in written form (i.e. questionnaire surveys) or in face to face interactions (meetings, focus group discussions). When dealing with information elicited from community representatives, use culturally appropriate techniques such as focus group discussions; women's gatherings etc., in local language; and ensure that information is collected separately from different segments of community (elders, youth, women etc.);
- **Two-way knowledge and information exchange:** should be applied throughout the project with all key stakeholder representatives and potentially affected or involved communities.

281. Communication needs to recognize the language needs of different audiences. There are 18 ethnic minority groups residing in the provinces of the project areas making up a significant proportion of the local populations. While Vietnamese is commonly spoken in addition to their own ethnic languages, levels of understanding, ability to converse as well as read Vietnamese vary considerably. Literacy in local ethnic languages is not common. Community meetings should take consideration of this, using appropriate vocabulary and local languages. Public information, education and communication printed material, should incorporate posters and brochures which drawings and diagrams.

282. Promote gender balance across all project communications. Women's participation should be actively promoted. Invitation notices to such meetings should indicate the names of both spouses. The level of women's participation in meetings should monitored and consideration given to conducting dedicated meetings for women if participation levels are low.

4. Description of Project Stakeholders

283. A stakeholder is an individual, group, or institution that has a defined and recognized interest, or stake, in the project. Stakeholders may be defined by whether they will be affected by a decision or have some influence on its outcome. The most important stakeholder in the project is its people and more specifically those that are either directly or indirectly affected, including road users as well as those marginalized groups who are affected but have no voice or may be invisible, both positively or negatively.

284. Stakeholder participation and communication is essential in both the preparation of the project and its implementation. If stakeholders are not included in the preparation phase, it is likely that the project will be developed in an unsuitable manner and not sensitive to the needs of the people using the roads and those in the project areas. Stakeholder participation will allow the project to draw on the experiences of a range of stakeholders and involve their diverse knowledge.

285. Directly affected people are generally both individuals and groups of people at the local level who are affected by development activities both positively and negatively. Ethnic minorities, poor people and women are also included in these groups because they tend to be most vulnerable in that they have the least power to inform and access planning and decision-making processes. Indirectly affected people are people that live nearby and/or use the roads in the project areas.

286. Government bodies, departments and agencies in the project areas have mandates directly related to various aspects of project design and implementation. They have vested interests in the outcomes of these features and activities. The main Government bodies are the People's Committees at the provincial, district and commune levels. The higher-level people's committees are responsible for key aspects of approval, coordination and mobilization of human and financial resources in the project areas.

287. Community based organizations are primarily represented by mass organizations in Vietnam. These include organizations such as the Fatherland Front, Women's Union, Farmers Union, and Youth Union. They are represented from the national down to the local community level. They are simultaneously responsible for promoting adoption of Government policies related to their areas of representation as well as representing and advocating for the interests of those covered under their mandated areas of concern. Other local institutions, such as schools may also be project stakeholders with an interest in project outcomes and have a role to play.

288. Main project stakeholders along with their interest and anticipated role in the project are summarized in the matrix in the table below.

Table 9-5 Stakeholder Analysis

STAKEHOLDER	INTERESTS IN THE PROJECT	ROLE IN PROJECT
Provincial People's Committee, District People's Committees, Commune People's Committees.	<ul style="list-style-type: none"> • Successful project implementation • General economic and social development • Ensuring application of appropriate Government regulations and policies. 	<p>Province and District Levels</p> <ul style="list-style-type: none"> • Consultation on project design and project activities. • Approval of implementation arrangements in the local areas. • Mobilization and coordination of relevant departments and community based organizations. • Ensuring establishment and operation of effective grievance redress. • Implementation of resettlement and ethnic minority development plans. <p>Commune Level:</p> <ul style="list-style-type: none"> • Participation in implementation of resettlement activities • Mobilization of local people to participate in consultation and mitigation programs • Participate in monitoring project implementation.
<p>Local Government Departments</p> <ul style="list-style-type: none"> - Committee for Ethnic Minority Affairs - Dept of Agriculture and Rural Development - Dept of Health/Provincial AIDS Centre - Department of Labour, War Invalids and Social Affairs - Dept of Natural Resources and Environment - Department of Transport 	<ul style="list-style-type: none"> • Improvement in infrastructure, living standards and poverty reduction of people in the respective provinces and project areas. • Rural development and enhancement of farm-market access • Ensuring ethnic minority interests are identified and incorporated in project design and implementation. • Mitigation of risks and impacts attributable to the project such as HIV transmission, human trafficking, land acquisition, environmental impacts, road safety. 	<p>Committee for Ethnic Minority Affairs:</p> <ul style="list-style-type: none"> • Consultation on benefits, impacts and participation of ethnic minorities. <p>Dept of Agriculture and Rural Development:</p> <ul style="list-style-type: none"> • Consultation on development and of farming-based livelihood restoration activities of the resettlement plans. • Potential collaboration on implementation of livelihood restoration. <p>Dept of Health/Provincial AIDS Centre:</p> <ul style="list-style-type: none"> • Consultation on risk of HIV/STI transmission. • Collaboration on implementation of HIV/STI awareness and prevention program. <p>Department of Labour, War Invalids and Social Affairs:</p> <ul style="list-style-type: none"> • Information sharing on social impacts and mitigation measures. • Partnership/Collaboration on livelihood restoration activities. • Monitoring conditions of contractor workers during construction phase. <p>Dept of Natural Resources and Environment:</p> <ul style="list-style-type: none"> • Consultation on preparation of resettlement plan policies and entitlements. • Consultation on Environmental Impact Assessment and Environment Management Plan. <p>Department of Transport:</p>

STAKEHOLDER	INTERESTS IN THE PROJECT	ROLE IN PROJECT
		<ul style="list-style-type: none"> • Consultation on project design and road safety
People in the immediate project areas	People at risk of being negatively affected by the project: <ul style="list-style-type: none"> • by land acquisition • by disruptions during construction. • by environmental impacts and risks during construction and operation. • at heightened risk of HIV/STI transmission and human trafficking • at risk of traffic accidents 	<ul style="list-style-type: none"> • Consultation on nature of impacts and design of mitigation measures. • Informed of implementation arrangements and schedules in timely manner. • Participate in mitigation measures and monitoring. • Be provided with contact points to obtain information and access to grievance redress. • Have safeguards documents and related monitoring reports disclosed to them.
	People benefiting from the project <ul style="list-style-type: none"> • Road users • Locally hired workers 	<ul style="list-style-type: none"> • Have opportunity to provide input in to design of project features affecting them. • Be provided opportunities to participate in local labour hire opportunities and be provided information about this in a transparent manner.
Mass Organizations (Fatherland Front, Women's Union, Youth Union, Farmers Union) Local schools Village leaders and traditional community leaders.	<ul style="list-style-type: none"> • Promoting interests and benefits of their members (e.g. Women's Union promote women's rights and gender equality). • Many of the government's social programs are conducted through mass organizations, including those related to poverty reduction. 	<ul style="list-style-type: none"> • Consultation on design and implementation of project activities in local areas. • Collaboration in project social mitigation activities and road safety campaigns • Participate in monitoring and evaluation of project activities. • Transmitting information in the communities •

5. Outline of Communication, Participation and Consultation Plan

a. Consultation During Project Design

289. Information was gathered from (i) the different government organizations that will be involved in project implementation, (ii) community based organizations, and (iii) community members living near the project sites.

290. During project design members of the project preparatory technical assistance team conducted consultations to solicit stakeholder input on the design of the project using the following methods:

- meetings, with relevant Government departments, such as Departments of Transport; Health; Committee for Ethnic Minority Affairs; Labour, War Invalids and Social Affairs; Environment and Natural Resources
- key informant interviews with district, commune and village officials to determine project needs, socio-economic information of the localities, and assess risks, impacts and opportunities for the communities.
- discussions with the Women's Union, Youth Union and Committee for Ethnic Minority Affairs to set priorities and ensure that the project equitably benefits women and ethnic groups;
- surveys and focus group discussions with men and women living near the project sites.

291. The information and recommendations gathered from the various stakeholder consultations has been incorporated into the design of the project to ensure that the investments align with local priorities and development plans, and that they will deliver equitable socio-economic benefits to the intended project beneficiaries.

The results of the pre-implementation consultations are also to be reflected in the social action plan, gender action plan, resettlement and ethnic minority development plans, and environmental assessments.

b. Consultation During Project Implementation

292. Inclusive and meaningful consultation will continue throughout the project implementation cycle, building on the initial consultations held with various stakeholder groups during project preparation. The various stakeholders, mechanisms for participation, entities responsible, indicative schedules and resources are set out in the Consultation and Participation Plan presented below.

Table 9-6: Consultation, Participation and Communication Plan

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
Construction and Environment Related					
Presentation of planned activities and schedule; anticipated impacts and mitigation measures (including restricted access, disruptions, hazards, road safety); GRM	Potentially affected households, ward PC representatives	Public meetings	Contractors	Prior to start of construction works; quarterly thereafter	Works contracts
Presentation of planned activities and schedule; anticipated impacts and mitigation measures; GRM	Potentially affected households, ward PC representatives	Public meetings & site visits and informal interviews	PMU2, PSC	Once before construction commences (public meetings) and semi-annually thereafter during construction (site visits and informal interviews)	Project supervision consultant time
Comments and suggestions on mitigation measures, public opinion	Experts of various sectors, county/ district EPBs	Expert workshop	PMU2, PSC	As needed, based on public consultation	Project supervision consultant time
Public satisfaction with EMP implementation	Potentially affected households, ward PC representatives	Public opinion survey	PSC	Once at mid-term review stage	Project supervision consultant time
Effectiveness of mitigation measures, impacts of operation, comments and suggestions	Potentially affected households, ward PC representatives	Public consultation and site visits	PMU2, PSC	Once in the first year of operation	Project supervision consultant time
Public satisfaction with EMP implementation Comments and suggestions	Potentially affected households, ward PC representatives	Public satisfaction survey	PSC, PMU2	Once at project completion report stage	Project supervision consultant time
Resettlement Related					
Information dissemination and consultation on project impacts, mitigation measures and entitlement principles.	Affected households, local authorities	Public consultation meetings. Interviews with households during surveys.	PMU 2, PSC, DPC, CPC	During RP preparation	Project supervision consultant time

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
Consultation on detailed entitlements, mitigation measures and implementation arrangements.	PPC, DONRE, DOLISA, DARD, CEMA, DPCs, CPCs	Meetings and workshops	PMU 2, PSC	During RP preparation	Project supervision consultant time
Disclosure of agreed RP	Affected households, communities in project areas; Stakeholders.	Dissemination of RP to all DPCs/ CPCs in project areas and agencies involved in RP implementation. Public posting of updated PIB in CPC notice boards	PMU 2/ DONRE/ DPCs DPCs/ CPCs	Following formal approval and concurrence from Government and ADB	Project supervision consultant time Resettlement Plan
	General public	Public disclosure on ADB's website Uploading on MOT website	ADB MOT		NA
Resettlement	Relocating AHs	Group and individual discussions with relocating AHs on options details and assistance entitlements.	DCARB, CPC	Following DMS	Resettlement Plan
Livelihood development	AHs eligible for LDP	LDP strategy, including proposed options. Needs and preference assessment. (Feedback informs final design of LDP.)	LDPSC, LDPMB, DCARB	Following DMS	Resettlement Plan
Entitlements, eligibility and compensation rates	AHs	Public consultation meetings. Distribution of the PIB to APs	DCARBs, CPC with support from PMU 2	Following DMS and replacement cost study	Resettlement Plan
Disclosure of draft updated RP and entitlements	Affected households	Posting the compensation and	DCARB		Resettlement Plan

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
		support plan in commune and village public areas. This plan covers all project entitlements for APs as well details of GRM. AP feedback on compensation plans to be collected and recorded at least 20 days following disclosure			
Disclosure of agreed updated RP	Affected households; Communities in project areas.	Translated resettlement plan publically accessible in local People's Committee Office, uploaded on ADB website and MOT website.	-PMU 2, DCARB with support of PSC. -PIB disseminated by CPCs. -ADB for uploading	Upon final approval of updated RP	Resettlement Plan
Implementation schedule of resettlement plan and civil works	Affected households	Public consultation meetings	DCARB, PMU 2, CPCs	Ongoing prior to implementation and upon significant change in implementation schedule.	Resettlement Plan
Compensation disbursement schedule	Affected households	Notices to individual households	DCARB and local PCs	Minimum 1 week prior to disbursement	Resettlement Plan
Relocation arrangements	Households required to relocate	Group discussions and individual consultations as needed.	DCARB	Commencing upon final approval of updated RP until resettlement satisfactorily completed.	Resettlement Plan
Disclosure of periodic External Resettlement Monitoring Reports	Public, local authorities, mass	Uploaded on ADB website.	ADB PMU, DPCs	Upon submission of periodic monitoring	NA

Issue	Target Audience	Means of Communication	Responsible	Timing	Source of Funds
	organizations	Translated versions made available at District PC offices for public access upon request.		reports (semi-annual)	
Disclosure of periodic Internal Monitoring Reports	Public	Uploaded on ADB website.	ADB	Upon submission of periodic monitoring reports by PMU 2 (semi-annual)	NA
Other Social Issues					
HIV and human trafficking mitigation	Communities in the project areas. Construction workers	Public consultation and small group meetings	Provincial AIDS Centre, Women's Union, Youth Union, HTAP Service Provider	Ongoing during construction	HIV and Human Trafficking Awareness and Prevention Program
Road safety awareness	Communities in the project areas	Public consultation meetings, class room	Women's Union, Youth Union, Teachers, Road Safety Service Provider	During construction phase and at commencement of operation phase.	Road Safety Awareness program
Opportunities for project work	Adults in the project area	Public notices	Contractor	Ong going during construction phase	Works contracts

Note: CPC = Commune People's Committee; DCARB = District Compensation, Assistance and Resettlement Board; DOLISA = Department of Labour, Invalids, and Social Affairs; DPC = District People's Committee; EIA = Environment Impact Assessment; EMP = Environment Management Plan; HTAP = HIV & Human Trafficking Prevention Programs; IEC = Information, Education & Communication, LDPSC = Livelihood development Program Steering Committee; LDPMB = Livelihood development Strategy Management Board (District Level); PIB = public information booklet; PMU 2 = Project Management Number 2; PPC = Provincial People's Committee; PSC= Project Supervision Consultant; WU=Women's Union.