

**THANH HOA PROVINCIAL PEOPLE COMMITTEE
DEPARTMENT OF AGRICULTURE AND RURAL DEVELOPMENT**

ETHNIC MINORITY DEVELOPMENT PLAN

DAM REHABILITATION AND SAFETY IMPROVEMENT PROJECT

**SUB-PROJECT: DONG BE DAM REHABILITATION AND SAFETY
IMPROVEMENT, XUAN DU COMMUNE, NHU THANH DISTRICT, THANH
HOA PROVINCE**

THANH HOA- JUNE, 2015

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SUBPROJECT OWNER

CONSULTING FIRM

THANH HOA- 25 JUNE, 2015

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ABBREVIATIONS

MARD	Ministry of Agriculture and Rural Development
MoNRE	Ministry of Natural Resources and Environment
MoIT	Ministry of Industry and Trade
MoF	Ministry of Finance
MPI	Ministry of Planning and Investment
MoC	Ministry of Construction
SVB	State Bank of Vietnam
PC	People's Committee
DRaSIP/WB8	Vietnam Dam Rehabilitation and Safety Improvement Project
DARD	Department of Agriculture and Rural Development
PPMU	Province Project Management Unit
CPO	Central Project Office
EMPF	Ethnic Minority Policy Framework
EMDP	Ethnic Minority Development Plan
EM	Ethnic Minority
ICMB	Investment and Construction Management Branch
CPMU	Central Project Management Unit
ODA	Official Development Assistant

GLOSSARY

- Project impact* Means positive and negative impacts on EMs caused by all project components. Adverse impacts are often consequences immediately related to the taking of a parcel of land or to restrictions in the use of legally designated parks or protected areas. People directly affected by land acquisition may lose their home, farmland, property, business, or other means of livelihood. In other words, they lose their ownership, occupancy, or use rights, because of land acquisition or restriction of access.
- Affected people* Refers to all individuals or organizations, business facilities suffering direct socio-economic impacts by projects financed by the Bank, caused by mandatory acquisition of land and other properties, leading to (i) remove or loss of residential land; (ii) loss of properties or access to properties; or (iii) loss of income sources or means of living, whether the affected people have to move to other place or not. The mandatory land acquisition includes the land ownership when the owner allows and is benefited from ownership/residence in other area. In addition, affected people include those whose livelihoods are negatively affected by mandatory restriction of access to legally designated areas and protected areas; however, this classified type of people is unlikely present in urban area.
- Indigenous people* (equivalent to the concept of *ethnic minority people* in Vietnam) means a separate, vulnerable group of people with separate social and cultural characteristics, having the following features, at various levels: (i) identifying themselves as members of a separate indigenous cultural group and this feature is recognized by other cultural groups; (ii) living in groups in separately geographical areas or in lands inherited from the ascendants in the project area and living closely with natural resources in that residential area and territory; (iii) having separate cultural, social, economic and political institutions compared with similar institutions of the prevailing society and culture, and (iv) having a unique native language, usually different from official language of the nation or region.
- Vulnerable groups* Separate groups of people who may be affected by resettlement more severely or who are exposed to the risk of being far from development process of the society due to impacts of resettlement and include the following specific groups: (i) female householders (widows, whose husband is invalid or lack

	of labor ability, whose family includes the old or children), (ii) invalids or elderly and lonely people, (iii) poor household, (iv) people without land and (v) ethnic minorities.
<i>Culturally appropriate</i>	Refers to considering all aspects of culture and their functional vulnerability.
<i>Free, prior and informed consultation</i>	Free, prior, and informed consultation with the affected Indigenous Peoples' communities refers to a culturally appropriate and collective decisionmaking process subsequent to meaningful and good faith consultation and informed participation regarding the preparation and implementation of the project. It does not constitute a veto right for individuals or groups.
<i>Collectively binding</i>	Refers to the presence and economic binding to the land and territory they have and inherit from previous generations, or they use or own based on customs and habits of several generations of the group of EM people concerned, including areas of special significance, such as sacred areas. "Collectively binding" also refers to the binding of EM people who often move/emigrate to the land they use by season or cycle.
<i>Customary rights to lands and resources</i>	Refer to the models of long-term use of land and natural resources of the local communities in accordance with customs, values, habits and traditions of ethnic minority people, including the use by season or cycle, other than official legal rights to land and natural resources issued by the State.

1. INTRODUCTION

1.1. Project description

The Dam Rehabilitation and Safety Improvement Project (DRSIP), a World Bank-funded project conceived to support the implementation of the Government dam safety program by improving the safety of prioritized dams and reservoirs as well as to protect people and assets of the downstream communities. The proposed project is intended to improve the safety of the dams and related works, as well as the safety of people and socio-economic status of the downstream communities as defined in Decree 72 governing the management of dam safety in Vietnam. The project consists of four principal components.

DRSIP will be implemented in 31 provinces in the North, Central and Highland regions. Up to 400 dams will be selected for consideration under the project with and will be based on an a priori agreed selection criteria aimed at prioritizing those interventions that address the risks within an explicit poverty and inequality framework.

The project will support the physical rehabilitation of the existing irrigation dams most of which were built during the 1980s and 1990s. About 90% of the dams to be rehabilitated are earthen structures and are considered as small dams with height of less than 15m and design volume of less than 3 million cubic meters (MCM). The proposed project is not intended to support significant structural modifications or expansions beyond what is needed to ensure safety. The rehabilitation will be limited to reshaping of the main and auxiliary dams, slope stabilization by either concrete slab or stone paving, strengthening or expansion of existing spillways to increase the discharge capacity, refurbishment of existing intake structures, replacement of mechanical and electrical systems of intakes and spillways, grouting for seepage control and improvement of existing roads (access and management roads).

The Ministry of Agriculture and Rural Development (MARD) will be responsible for overall implementation and management of the project. The Central Project Office (CPO) within MARD would provide the support to all the three Ministries and responsible for overall coordination and monitoring of the project. The implementation of the rehabilitation works and preparation of dam safety plans, including safeguard and fiduciary, would be decentralized to the provincial level authorities. The provincial Department of Agriculture and Rural Development (DARD) would be lead agency at the provincial level. Provincial Project Management Unit (PPMU) of DARD in each province wills response to manage and monitor the sub-project under MARD supervision.

1.2. Project objective

1.2.1. Overall goal

The overall goal of the project is to support the implementation of the Government's dam safety program by improving the safety of prioritized dams and reservoirs as well as to protect people and assets of the downstream communities.

1.2.2. Specific objectives

- Improve dam safety by dam rehabilitation, installation of monitoring equipment, operation and maintenance planning.
- Strengthen institution of dam safety management at national and system levels by completion of institutional framework on dam safety, including development and management of databases, addition of regulations, standards, guidelines, building capacity and coordination mechanism between stakeholders.
- Improve flood management capacity at the basin level and coordination mechanism of reservoir operation by improving forecasting capacity, developing integrated flood management plan and training for capacity building.

1.3. Objective of Ethnic Minority Development Plan

This Ethnic Minority Development Plan (EMDP) was prepared in accordance with World Bank's Operational Policy on Indigenous Peoples OP4.10. Its content was based on the Social Assessment (SA) and consultation with EM peoples of this subproject (please see the SA report for more detail).

The objectives of this EMDP include a) summary of potential impacts on EM peoples and mitigation measures, b) proposition of necessary development activities to ensure EM peoples in the subproject area receive benefits that are culturally appropriate to them. The development activities under this EMDP were proposed based on the consultation with EM peoples in the subproject area. There is no potential adverse impact envisaged at this stage with regards to land acquisition, and/or agricultural activities of the EM peoples. This EMDP aims to provide socio-economic benefits to EM peoples present in the subproject. These benefits are additional to the intended benefited of the subproject (improved dam safety and water reliability) which this subproject aims to bring about.

1.4. Project components

Component 1: Dam Safety Rehabilitation (US\$385 million)

This component will improve dam safety through physical rehabilitation of existing infrastructure. This will include two different approaches required for the rehabilitation of large/medium and small, community-managed dams. The difference between the two relates not only to the types of works and the regulatory framework, but also the institutional and implementation arrangements required to undertake such works and ensure their sustainable operation and maintenance. This would include support to (i) Detailed design, supervision and quality control of rehabilitation works for prioritized dams and associated infrastructure; (ii) rehabilitation works, including civil works, hydro-mechanical works and installation of hydrological and safety monitoring equipment; (iii) preparation of Operation and Maintenance Plans and Emergency Preparedness Plans; and (iv) adoption of standardized checklist for community-managed dams.

Component 2: Dam Safety Management and Planning (US\$60 million)

This component will improve the planning and operational framework for dam management to safeguard the people and socio-economic infrastructure within downstream communities. This would include provision of support to: (i) hydrological observation network and information systems; (ii) integrated development planning and operational coordination mechanisms between irrigation and hydropower reservoirs; (iii) regulatory and institutional support and strengthening on coordination mechanism including national dam policy on registration, regulation, inspection, safety compliance and penalties; (iv) technical specifications, safety standards and regulations to internationally-accepted levels; and (v) capacity enhancement, basin-wide integrated dam reservoir operation plans, emergency preparedness plan including dam break analysis, downstream flood mapping and benchmarking, awareness raising and evacuation drills for local communities living downstream.

Component 3: Project Management Support (US\$15 million)

This component will provide the necessary enabling environment to support project implementation. This will include support for the following: (i) Project Steering Committee composed of MARD, MoIT and MoNRE to coordinate all project interventions; (ii) Project Management Unit (PMU) within MARD to provide the necessary support services for timely and effective project implementation, including monitoring & evaluation, procurement, financial management, safeguard monitoring, etc.; (iii) Technical Assistance for beneficiary departments within MoIT and MoNRE to provide the necessary support services for timely and effective project implementation; (iv) Establishment and operations of a National Dam Safety Review Panel; (v) Independent audits of prioritized dams before and after rehabilitation; and (vi) Incremental operating costs for project related activities.

Component 4: Disaster Contingency (US\$ 0 million - no fixed allocation, but not to exceed 20% of the total project cost)

This component will improve the response capacity of the Government in case of an emergency relating to dam failure during project implementation. In the event of an emergency, this contingency component would facilitate rapid utilization of loan proceeds by minimizing the number of processing steps and modifying fiduciary and safeguard requirements so as to support rapid implementation. This component would allow expenditures to be made in accordance with the rapid response procedures of OP/BP 10.00 subject to the list of positive goods and services to be defined during project development. Such a component is not a substitution for insurance, and does not remove the need for construction covering dams included under the project. A generic positive list may be combined with a list of excluded goods that could trigger safeguard policies. This is intended to help ensure sufficient liquidity in the case of an emergency by financing the government's overall response to the emergency and providing some measure of protection to Government's fiscal accounts.

1.5. Sub-project description

The sub-project of “Dong Be dam rehabilitation and safety improvement, Xuan Du commune, Nhu Thanh district, Thanh Hoa province” is expected to be done in the first year of the DRSIP project.

The main purposes of sub-project are rehabilitation of the headworks to ensure dam safety, ensure the designed irrigation capacity for 255 hectares of agricultural land of Trieu Thanh, Hop Thanh commune, Trieu Son district and Xuan Du commune, Nhu Thanh district and supply domestic water for people in those communes.

The rehabilitation components of sub-project are strengthening of main dam, building new spillway, two intake structures, embankment of flood dike, reinforcement of canals N1, N2, and building new management house.

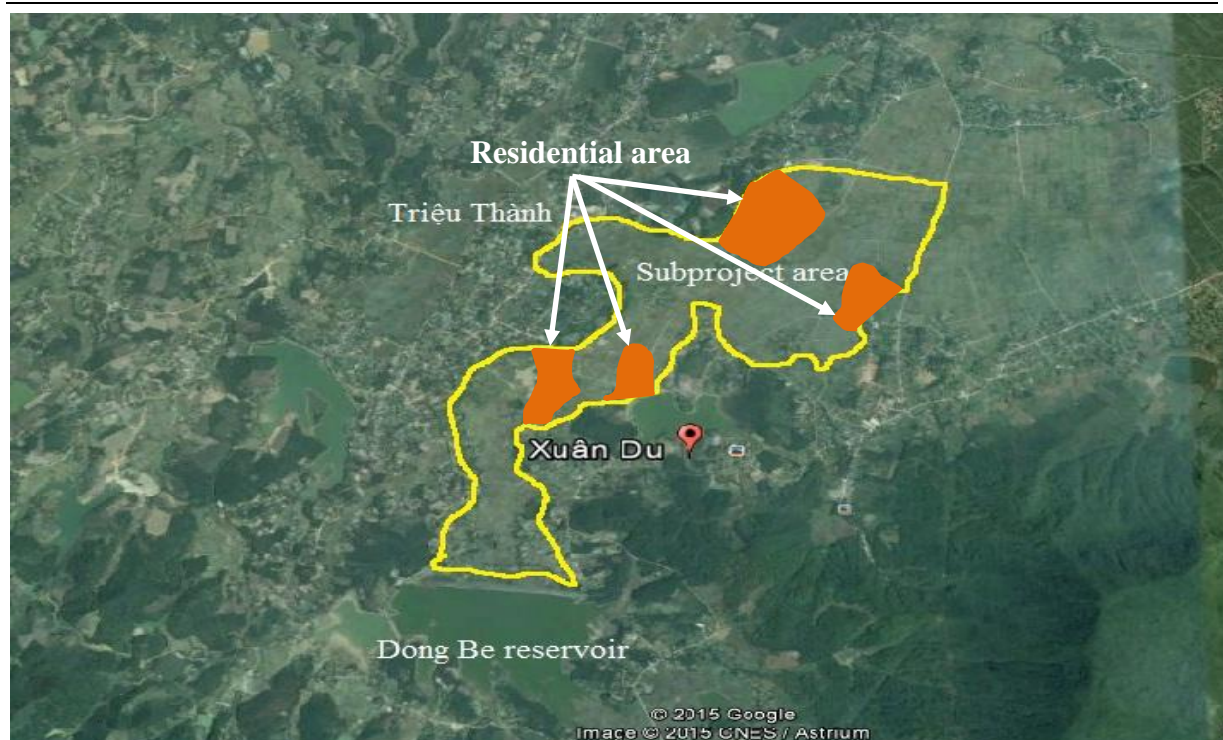


Figure 1. Subproject area with residential area where EM peoples live

2. POLICY FRAMEWORK FOR ETHNIC MINORITIES

2.1. National Legal and Policy Framework for Ethnic Minorities

Constitution of the Socialist Republic of Vietnam (2013) recognized the equality between ethnic groups in Vietnam. Article 5 of the Constitution in 2013 provides:

1. Socialist Republic of Vietnam is the unified state of all nationalities living in the country of Vietnam.
2. The nationalities equal, unite, respect and help each other to develop; prohibits any discrimination, ethnic division.
3. The national language is Vietnamese. The nation has the right to use voice, text, preserving the national identity, promoting traditions, customs, traditions and culture.
4. The State implements a comprehensive development policy and creates reasonable conditions for the ethnic minorities to mobilize resources, along with the development of the country.

The adaptation of economic and social policies to each region and each group, taking the needs of ethnic minorities into account, is a requirement. The Socio-Economic Development Plan and Socio-Economic Development Strategy of Vietnam specifically call for attention to ethnic minorities. Major programs targeting ethnic minority people include Program 135 (infrastructure in poor and remote areas) and Program 134 (eradication of poor quality houses). A policy on education and health care for ethnic minorities is in place. The legal framework has been updated in 2014.

All legal document references are in Table 1.

The Government of Vietnam has developed a series of policies to develop, enhance socio-economic condition of ethnic minorities in the mountainous and remote regions. After the program 124 and the program 125 phase 1, phase 2, the government has launched program 135 phase 3 for a chance to enhance socio-economic development in poor communes and villages located in mountainous areas or where inhabited by ethnic minorities. Besides the overall development program for ethnic minorities, the Government assigned the Committee for Ethnic Minorities Affairs to guide provinces to prepare projects Development Assistance for ethnic groups with less than 1,000 people, i.e. Si La, Pu Peo, Ro Mam, Brau, O Du. The government also conducted Rapid and Sustainable Pro-poor Program 61 poor districts, where many ethnic minorities live.

The Prime Minister promulgated the Decree No. 84/2012/ND-CP by dated 12 October, 2012 on the functions, tasks, powers and organizational structure of the Committee for Ethnic Minorities Affairs (CEMA). The Decree stipulated that the CEMA, a ministerial government, performs the function of state management of ethnic affairs in the country; state management of public services under the jurisdiction of CEMA as stipulated by law. Along with Decree 05/2011/ND-CP dated 14 January, 2011 on the work of EM, Decree 84/2012/ND-CP was issued as a legal basis for CEMA to continue concretizing guidelines and policies of the State on ethnic minorities in the period of industrialization and modernization; promote the power to unite the whole nation for the target rich people, strong country, social justice, democracy and civilization, in order to ensure and promote equality, solidarity, respect, help each other to develop and preserve the cultural identity of the peoples in the great family of ethnic groups of Vietnam.

The documents of the Government on the basis of democracy and the participation of local people are directly related to this EMPF. Ordinance No. 34/2007/PL-UBTVQH11, dated 20 April, 2007 (replaced for Decree 79/2003/ND-CP dated 07 July, 2003) on the implementation of democracy in communes, wards, and town provides the basis for community involvement in the preparation of development plans and supervision of community in Vietnam. Decision No. 80/2005/QĐ-TTg by the Prime Minister, dated 18 April, 2005 regulates the monitoring of community investments. Legal Education Program of CEMA (2013 - 2016) aims to improve the quality and effectiveness of legal education, awareness raising on self-discipline, respect, strictly abiding law of officials and public servants, the employees of the organizations for EM.

Development of socio-economic policies for each region and target group should consider the needs of ethnic minorities. Socio-economic development plan and strategy of Vietnam calls for special attention to ethnic minorities. Policies on education and health care for ethnic minorities have also been issued. The legal framework was

updated in 2014, all legal documents related to EM are shown in Table 2.

Table 1: Legal documents relating to ethnic minority

2013	Joint Circular No. 05/2013-TTLT-CEM-ARD-MPI-TC-XD dated on November 18, 2013 guideline of program 135 on support infrastructure investment, production development for extremely difficult communes, border communes, particularly difficult villages
2012	Decision No. 54/2012-QD-TTg of the Prime Minister dated on December 04, 2012 on promulgation of lending policy for development for particularly difficult ethnic minorities in period 2012-2015
2012	Decree No. 84/2012 / ND-CP of the Government dated on December 10, 2012 on functions, tasks, powers and organizational structure of the Committee for Ethnic Minorities.
2012	Joint Circular No. 01/2012 / TTLT-BTP-CEM date on January 17, 1012 of the Ministry of Justice and the Committee for Ethnic Minorities on guideline and legal assistance for ethnic minorities.
2010	Decree No.82/2010/ND-CP of government, dated 20 July 2010 on teaching and learning of ethnic minority languages in schools.
2009	Decision No 102/2009 / QD-TTg dated on August 07, 2009 of the Prime Minister on directly policy assistance for the poor in difficult area.
2008	Resolution No.30a/2008/NQ-CP of government, dated 27 Dec. 2008 on support program for rapid and sustainable poverty reduction for 61 poorest districts.
2007	Circular No.06 dated 20-September-2007 of the Committee for Ethnic Minorities Affair guidance on the assistance for services, improved livelihood of people, technical assistance for improving the knowledge on the laws according the decision 112/2007/QD-TTg
2007	Decision No. 05/2007/QD-UBDT dated 06-September-2007 of the Committee for Ethnic Minorities Affair on its acceptance for three regions of ethnic minorities and mountainous areas based on development status
2007	Decision No.01/2007/QD-UBDT dated 31-May-2007 of the Committee for Ethnic Minorities Affair on the recognition of communes, districts in the

	mountainous areas.
2007	Decision No.06/2007/QD-UBDT dated 12-January-2007 of the Committee for Ethnic Minorities Affair on the strategy of media for the program 135-phase 2

2.2. World Bank’s Operational Policy on Indigenous Peoples (OP 4.10)

The OP 4.10 aims at avoid potentially adverse effects on indigenous people and increase activities to bring about projects benefits taking into account their cultural demands and needs. The Bank requires indigenous peoples, (here refer as Ethnic Minorities), to be fully informed and able to freely participate in projects. The project has to be widely supported by the affected EMs. Besides, the project is designed to ensure that the EMs are not affected by adverse impacts of the development process, mitigation measure to be defined if required and that the EM peoples to receive socio-economic benefits that should be culturally appropriate to them.

The Policy defines that EM can be identified in particular geographical areas by the presence in varying degrees of the following characteristics:

- a) Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- b) Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;
- c) Customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and
- a) Speak an indigenous language, often different from the official language of the country or region.

As a prerequisite for an investment project approval, OP 4.10 requires the borrower to conduct free, prior and informed consultations with potentially affected EM peoples and to establish a pattern of broad community support for the project and its objectives. It is important to note that the OP 4.10 refers to social groups and communities, and not to individuals. The primary objectives of OP 4.10 are:

- to ensure that such groups are afforded meaningful opportunities to participate in planning project activities that affects them;
- to ensure that opportunities to provide such groups with culturally appropriate benefits are considered; and
- to ensure that any project impacts that adversely affect them are avoided or otherwise minimized and mitigated.

In the context of the sub-project, the EM groups (equivalent to indigenous peoples) in the sub-project area are likely to receive long term benefits through the dam rehabilitation and safety improvement, but they may be adversely affected on their livelihood during subproject implementation and temporary impacts on social issues of the communities.

This section was prepared on the basis of the project's EMPF (please see the EMPF for details).

3. SOCIAL ASSESSMENT

3.1. Methodology

Consultations with EM were carried out in a free, prior, and informed manner, to confirm if there is broad community support from affected EM peoples for the subproject implementation. EM screening was conducted as per Bank’s OP 4.10, and was done with the scope and coverage of the social assessment vis-à-vis the environmental assessment (OP 4.01).

3.2. Description of the sub-project population

3.2.1. Area and population

Consultant implemented sampling survey in Xuan Du and Trieu Thanh communes to collect basic data on the area. The average population density is 475 people/km², 1.5 times higher than the average population density of Thanh Hoa province of 312 people/km² (GSO, 2013). The person per household of two communes is about 4.1 persons/household, similar as statistics of Thanh Hoa province of 4 people/household. Average percentage of ethnic minority (EM) of the subproject area is 5%, with total number of EM household is 145.

Proportions of ethnic groups in the subproject are 67.23% of Kinh group, 28.97% of Muong group, 2.97% of Thai group and others with 0.83%.

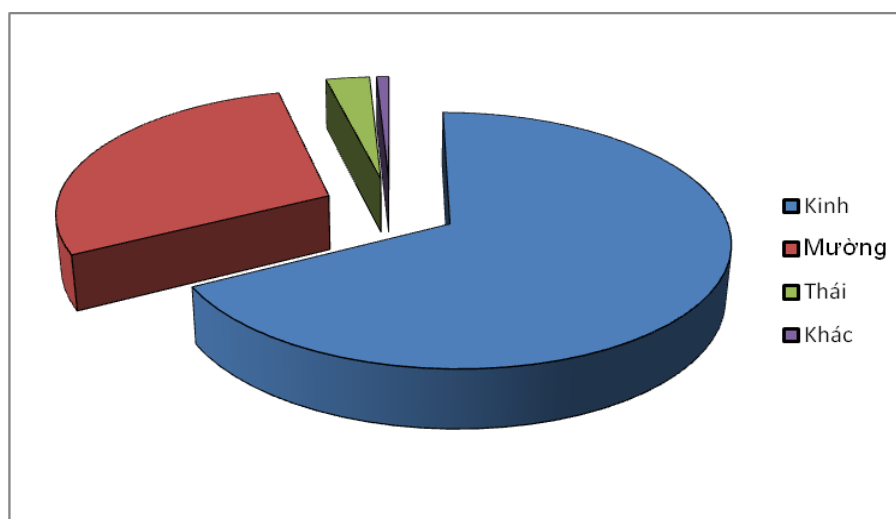


Figure 2. Proportions of ethnic groups in the subproject area

According to the inventory of losses, there are 13 directly affected households (78 people) due to the acquisition of land and property on the land to serve for dam rehabilitation. No HH is relocated, no HH lost more than 20% of productive land (10% of productive land for vulnerable households); no household has to move graves; the EM people in the subproject area are not affected by the subproject.

Detail of impacts and compensation for land acquisition and resettlement is presented in the RAP of the subproject (please see the RAP prepared for this subproject).

3.2.2. Infrastructure

- Transportation

In the project area, rural roads are relatively developed, with 100% of the communes' roads connected to the town center; most of the other technical infrastructures are connected to automobile road. The project area does not have any Highway, only provincial road No. 506 crossing the town with total length of 6.5 km; the asphalt road is relatively good.

- Electricity

Currently, the Electricity companies of Trieu Son and Nhu Thanh manage rural power grids in the subproject area. Although Electricity companies and local authorities have made efforts to invest, improve the power system but it is still not safe. Most of the electrical system has been used for 15-20 years, so it is seriously degraded now, especially the connection cables to the household. Meanwhile, people's perception of safety knowledge is very limited, so the risk of accident and loss of grid security is very high.

Overall grid is connected to every residential area in the subproject area, basically meet the needs of the people's power consumption. Households near the construction site also use the national grid.

3.2.3. Economic structure and main income

In terms of economic structure, both two communes have proportion of agriculture higher than the handicraft industry and services (non-agricultural). According to data in the socio-economic reports of CPCs, ratio of agricultural population of the Xuan Du and Trieu Thanh commune is 96% and 91%, which demonstrates the high economic proportion of agriculture. However, the income per capita of Xuan Du commune is 22.9 million/year higher than Trieu Thanh commune of 12.8 million/ year.

The main income of almost people in project site is agriculture including crop cultivation and domestic husbandry. The main crops cultivated by the local people include paddy rice, maize, soybean, groundnut, sugarcane, vegetables and some fruit trees. Depending on locality and water resource, Farmers in the project area produce two (one rice + Up-land crop) to three (two rice + Up-land) crops per year. However, in the surveyed localities, a lot of people suppose that their current agricultural production is precarious because of depending too much on weather and operation of irrigation reservoir. It is special that Trieu Thanh commune has 19 small reservoir functioning irrigation for agricultural production.

Besides the income almost from rice farming, a lot of farmer HHs in the districts plant sugarcane to provide raw material to Lam Son sugar factory. The sugarcane area of Xuan Du and Trieu Thanh communes are 32 ha and 50 ha. It seems that the income from sugarcane is reflected by the negative reviews because of unstable sugarcane price of the sugar factory. In the group discussions in Trieu Thanh commune, it was said that, due to high sugar inventory, the factory doesn't buy HHs' sugarcane or in

case of purchase, they underestimate value of the sugarcane to reduce price, that makes serious impacts on sugarcane farming HHs. Especially, Xuan Du commune has advantage of peach tree cultivation with high economic efficiency and big income for many households.

The domestic animals raised in the project area are cows, buffaloes, pigs and poultries. The cattle are raised for draught and for selling. Poultries are rarely sold and mainly for family consumption (daily food). Some households developed model of household's farm. Fluctuation of cattle prices also affects considerably farmers. The incomes from selling some cattle and pigs are used for purchasing household furniture, assets, etc.

Poverty is one issue in the group discussion with people in the communes. Xuan Du commune has poverty ratio of 3.2% while Trieu Thanh has higher ratio of 22.9%.

3.2.4. Education

Both communes have three levels of school. Educational facilities, supplies of communal schools are equipped fully. Study Promotion is conducted in the communes to motivate students. Study Promotion Association organized gift giving to encourage high-achieving students, and good teachers at provincial and district levels. Each commune also has community learning center that often organizes extension activities, dissemination of scientific, technical knowledge for farmers in the village.

3.2.5. Health care

As for manual labor of farmers, health is a very important factor to maintain their production and life. In the last year, 86% of the surveyed households had a sick person. Among them, there is 76% of flu, 26% of respiratory diseases, and the rests are malaria, cholera, hepatitis, high blood pressure, accidents and injuries. With common illnesses such as colds, flu, cough, rhinitis, 65% of the people goes to Communal health center. Second choice of health care place is in district hospitals with 62% of interviewees. About 22% of people took treatment in the provincial hospital; there is no case in the central-level hospital.

As reported by Xuan Du commune, number of households using hygienic water is 92.5%, and 82.5% of households have sanitary latrines. However, 60% of people said that the main factors adversely affect people's health are unsafe foods, vegetables and contaminated drinking water sources. Especially, the households near the cemetery reflect their well water is contaminated. Thus, 75% of people have health insurance to reduce the health care costs.

When asked about the disease through sexual transmission (HIV / AIDS), 50% of people are aware of this problem. Most people (88%) still thinks that AIDS is an incurable disease. However, 90% of people are aware of the precautions such as not sharing needles and using condom during sex. Mostly people receive information through broadcasts on television (92%) and others from the community meetings (25%).

Each commune in the project area has communal health station with the basic infrastructure. Buildings in communal health station are the grade 4 houses that were built long time ago. Each station has from 11 to 14 beds, with rooms divided into

sections such as clinic, pharmacy. The stations have only minimal equipment to treat common diseases in the locality. Each station has 5 to 6 staff, including one head of station, 2 doctors, 2 and 3 nurses.

3.2.6. Water supply and sanitation

- Water supply

The majority (90%) of households in the subproject area use water from wells and boreholes for domestic purposes, 10% of households use water from the Dong Be reservoir.

Source of drinking water

Clean water sources in rural areas include wells and boreholes, rain water with 98% of people in the subproject area. However, it is noted that people in the subproject area do not use water from ponds and reservoir for drinking.

Thus, in the subproject area, water for drinking and domestic use is not met standards in terms of quantity and quality. Therefore, water accumulation during water shortage is the best meaningful with the people in the subproject area.

- Sanitation

There are 5 main reasons caused negative impact on the health, namely polluted water, polluted residential areas, food insecurity, disease and lack of domestic water.

Two of the five most important caused adverse impacts on public health related to water are polluted water and lack of water.

According to the survey results, 82.5% of households use latrines.

3.3. Characteristics of EM in subproject area

Muong is an ethnic group living in mountainous area in northern part of Vietnam and they live most densely in Hoa Binh province and mountainous districts of Thanh Hoa province. Muong people live and cultivate permanently in areas where productive land is available, close to roads and convenient to work and travel. In the project communes, they live together with Kinh people (the majority ethnic group in Vietnam) in villages and integrate their lifestyle and cultivation habits with the Kinh group.

Muong people are tradition farmers and paddy rice is their main food crop. Significant secondary income of Muong families is exploiting forestry products such as agarics, cat's ear, cinnamon, honey, timber, bamboo, rattan, etc. Typical handicrafts of Muong are weaving, knitting, reeling silkworms, etc. Many Muong women do weaving with quite sophisticated skills.

The Thai people have their own language and traditional clothes which are worn only in festivals and special days. Daily communications in families are in their language. Young people can read and write Vietnamese fluently, but this is quite limited among old people. The Thai have lived together with the Kinh for a long time in the locality. Funeral and wedding rituals are similar to those of the Kinh, no exhumation is carried out because Thai people believes that the dead moves to live in another world.

Although EM people (Muong and Thai) have their own cultural identity presented through traditional festivals and languages, they still live together with Kinh people in the villages in the house style of Kinh people and communicate in Vietnamese. Therefore, it seems difficult to distinguish the EM people from Kinh people.

The Muong, Thai and Kinh people live in harmony, solidarity and help each other in production and daily life. However, a lot of EM people are not really good at doing business like Kinh people. They also lack investment capital for production. The main source of income derives from paddy rice and sugarcane, however, paddy rice is mainly used for domestic consumption.

3.4. Results of EM household survey

3.4.1. Sampling survey

The household survey of ethnic minority households was conducted with a proportion of 24.4%, equivalent to 35 households in the total 145 EM households in the subproject area. EM households were selected randomly in two communes with ethnic minority people.

3.4.2. General information of ethnic minority householder

According to the survey results, of the total 35 surveyed households, the number of male householders always occupies a large proportion with 29 people, accounting for 82.86% while only 6 households have female householders, accounting for 17.14%, 5 out of them are single women.

The average age of households is 35 years old. Based on the age, the number of householders at the age from 18 to 30 years old is the lowest with 3 people, accounting for 8.57%; the number of householders at 31 to 40 years old is 9 person, making up 25,71%; the number of householders at 41 to 50 years old is the highest with 12 people, representing 34,29%; the number of householders at the age from 51 to 60 is 9 people, accounting for 25,71%; and no householder more than 60 years old (out of working age) is 2 people, accounting for 5,7% .

Table 2. General information about ethnic minority householders

No.	Content	Unit	Quantity	Proportion (%)
I	Total number of surveyed households	Household	35	
II	Gender			
2.1	Male householder	person	29	82.86
2.2	Female householder	person	6	17.14
III	Age		35	

No.	Content	Unit	Quantity	Proportion (%)
3.1	Average age	years old		
3.2	From 18 to 30	person	3	8.57
3.3	From 31 to 40	person	9	25.71
3.4	From 41 to 50	person	12	34.29
3.5	From 51 to 60	person	9	25.71
3.6	Over 60 years old	person	2	5.71
IV	Literacy of householders		35	100
4.1	Illiteracy	person	3	8.57
4.2	Primary school	person	9	25.71
4.3	Secondary school	person	23	65.71
4.4	High school	person	0	0
4.5	Intermediate/vocational training school	person	0	0
4.6	College/University	person	0	0
V	Marital status		35	100
5.1	With husband/wife	person	30	85.71
5.2	Single	person	2	5.71
5.3	Widowed	person	3	8.57
5.4	Divorced	person	0	0

Regarding the literacy of householders, it can be seen that most householders study higher than the secondary school level with 23 people, accounting for 65.71%, followed by primary school level with 9 people, accounting for 25.71%. There is no household with illiteracy level or university/college level. 3 female householders are illiterate, accounting for 8.57%. No one has education level higher than high school and university level.

With respect to marital status of householders, 30 people have wife/husband, accounting for 85.71%. There are 5 widowed householders accounting for 18.75%.

As for marital status, 30 households have full husband and wife, accounting for 85.71%. There are 3 widowed female householders, accounting for 8.57%, and 2 lonely households accounting for 5.71%.

Table 3. Information about main employment of ethnic minority people

No.	Employment	Unit	Quantity	Proportion (%)
1	Labour incapacitation person	person	0	0
2	Agriculture and forestry farmer	person	34	97.14
3	Trading, service supplier	person	0	0
4	State officer & staff	person	0	0
5	Student, pupil	person	0	0
6	Small industry & handicraft laborer	person	0	0
7	Worker	person	0	0
8	Armed force	person	0	0
9	Housewife	person	0	0
10	Retiree	person	1	2.86
11	Hired laborer	person	0	0
12	Unemployed person	person	0	0
	Total	person	35	100

Current employment situation of householders in table 4 shows that a large number of householders work in the agricultural sector with 35 people, accounting for 100%.

3.4.3. Socio-economic information of ethnic minority households

The survey results on socio-economic situation of ethnic minority households show that the number of members in households are as follows: the number of households with from 2 to 4 people makes up the highest proportion with up to 51.43% (18 households), and the number of households with 17 people upward represents 48.57% with 13 out of 32 surveyed households.

Table 4. Number of people in households

No.	Number of people	Unit	Quantity	Proportion (%)
1	1 person	Household	0	0
2	2-4 people	Household	18	51.43
3	From 5 people upward	Household	17	48.57
	Total		35	100

3.4.4. Living conditions of ethnic minority households

Regarding houses of surveyed ethnic minority households, of the total 35 households, 1 household has solid houses, accounting for 2.86%; 34 households have semi-solid houses or 4th-grade houses (97.14%); no household has barracks or thatched, temporary houses.

Table 5. Types of houses of surveyed ethnic minority households

No.	Type of house	Quantity (household)	Proportion (%)
1	Solid house	1	2.86
2	Semi-solid house	34	97.14
3	Barrack or thatched house	0	0
4	Temporary house	0	0
5	Homeless	0	0
	Total	35	100

Source: Survey data

The water sources used for drinking, bathing, washing and production of households are as follows:

- 100% of surveyed households use water for drinking, bathing and washing from boreholes and dug wells; 0% of households use drinking water source from reservoirs and natural canals.
- 20 households use production water from irrigation system, accounting for 57.14%; 9 households use production water from natural river/canal, accounting for 25.71%; 4 households use production water from bored well/dug well; 02 households use production use from rainwater.

Table 6. Water sources used for production and living of EM households

No.	Water sources used for households	Quantity (households)	Proportion (%)
1	Water source for drinking	35	100
1.1	Natural river/canal	0	0
1.2	Reservoir		0

No.	Water sources used for households	Quantity (households)	Proportion (%)
1.3	Bored well/dug well	35	100
1.4	State's clean water supply system	0	0
1.5	Irrigation system	0	0
1.6	Rainwater	0	0
2	Water source for bathing and washing	35	100
2.1	Natural river/canal	0	
2.2	Reservoir	0	0
2.3	Bored well/dug well	35	100
2.4	State's clean water supply system	0	0
2.5	Irrigation system	0	0
2.6	Rainwater	0	0
3	Water source for production	35	100
3.1	Natural river/canal	9	25.71
3.2	Reservoir	0	0
3.3	Bored well/dug well	4	11.43
3.4	State's clean water supply system	0	0
3.5	Irrigation system	20	57.14
3.6	Rainwater	2	5,71

Source: Survey data

According to the household survey results of 35 ethnic minority households, all households have toilets, in which 02 households have detritus/semi-detritus toilets (5.71%); 08 households have two-compartment toilets (22.86%); Most of households use simple toilets (68.57%); and 1 household has other type of toilet (2.86%).

Table 7. Toilets of ethnic minority households

No.	Type of toilet	Quantity (households)	Proportion (%)
1	No toilet	0	0
2	Detritus/semi-detritus toilet	2	5.71
3	Two-compartment toilet	8	22.86
4	Simple toilet	24	68.57
	Total	1	2.86

Source: Survey data

With respect to lighting energy source, 35 surveyed households use grid electricity (100%) and all households in the commune use grid electricity for lighting.

Table 8. Lighting energy source

No.	Lighting energy source	Quantity (household)	Proportion (%)
1	Grid electricity	35	100,0
2	Kerosene	0	0,0
3	Gas	0	0,0
4	Battery, generator, small hydropower plant	0	0,0
	Total	35	100,0

Source: Survey data

Of the total 35 surveyed households, 31 households often use firewood for cooking, accounting for 88.57%; 4 households often use gas for cooking (11.53%).

Table 91. Main types of fuels used for cooking

No.	Type of fuel used for cooking	Quantity (household)	Proportion (%)
1	Firewood	31	88.57
2	Coal	0	0
3	Kerosene	0	0
4	Gas	4	11.43
5	Straw, leave	0	0
6	Biogas	0	0
7	Electricity	0	0
	Total	0	0

3.4.5. Assets and necessities of households

Regarding assets and necessities of EM households, the socio-economic survey results show that:

100% of EM households have televisions; 5 households have refrigerators (14.29%). 30 households have motorbikes (85.71%). 30 households have telephones, making up 85.71%; and no households has line phones. 17 households have gas stoves, but only 04 households usually use gas in daily cooking activity; 01 household has washing machine and 01 household has washing machine (2.86%).

There is no household with Internet connection, air-conditioner and heater. Result of household survey on assets of EM household is as follows;

Table10. Necessities of households

No.	Type of asset	Have		Do not have	
		Household (<i>household</i>)	Proport ion (%)	Household (<i>household</i>)	Proport ion (%)
1	Television	35	100	0	0
2	Motorboat	0	0	35	100
3	Automobile	0	0	35	100
4	Refrigerator	5	14.29	30	85.71
5	Motorbike /electric bike	30	85.71	5	14.29
6	Telephone	0	0	35	100
7	Mobile phone	30	85.71	5	14.29
8	Gas stove	17	48.57	18	51.43
9	Internet	0	0	35	100
10	Air-conditioner	0	0	35	100
11	Computer	0	0	35	100
12	Washing machine	1	2.86	34	97.14
13	Heater	1	2.86	34	97.14

Source: Survey data

3.4.6. Life of ethnic minority households

The socio-economic survey results of ethnic minority households indicate that:

- 01 household has wealthy living standard (2.86%);
- 27 ethnic minority households have average living standard (77.14%);
- 03 household have near-poor living standard (8.57%);
- 04 household have poor living standard (11.43%). Therefore, given the general living standard of the whole province, the proportion of poor households of the commune is relatively low.

Over the past year, 11 households still lacked foods in which 02 household lacked foods for 1-2 months (5.71%); 02 households lacked foods for 3-4 months (5.71%) and 7 households lacked foods for over 4 months (20.00%). Meanwhile, 24 households (68.57%) did not lack foods over the past 12 months.

31 households think that their living conditions have become better over the past three years (88.57 %); 3 households (8.57%) think that there is no change; and 01 household (2.86%) think that their living conditions have been worse over the past 3 years.

Table 21. Living standard of EM households

No.	Living standard	Quantity (households)	Proportion (%)
1	Type of living standard of households	35	35
	Wealthy	1	2.86
	Average	27	77.14
	Near-poor	3	8.57
	Poor	4	11.43
2	Lack of foods over the past 12 months	35	100
	Yes, 1-2 months	2	5.71
	Yes, 3-4 months	2	5.71
	Yes, over 4 months	7	20.00
	Do not lack	24	68.57
3	Living conditions over the past 3 years	35	100
	Unchanged	3	8.57
	Better	31	88.57

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No.	Living standard	Quantity <i>(households)</i>	Proportion <i>(%)</i>
	Worse	1	2.86

4. SUMMARY OF CONSULTATION RESULTS

4.1. Objectives of Community Consultation

As part of the social assessment conducted for this subproject, consultation with EM peoples present in the project was conducted in a free, prior and informed manner – as per World Bank’s OP 4.10. The purpose of the consultation is to a) inform the ethnic minorities present in the subproject area of the potential project impact (adverse and positive), b) solicit feedback from the EM peoples (on the basis of identified impact), and c) to propose development activities to ensure EM peoples present in the subproject area could receive socioeconomic benefits (from the Project) that are culturally appropriate to them, and on the basis of the above, confirm if there is a broad community support for the subproject implementation.

4.2. Consultation methods

Various inquiry techniques, such as focus groups discussion, key informant interview, field observation, and household survey, were employed to collect feedback from the EM peoples. Free, prior, and informed consultation – as per Bank’s OP 4.10, were maintained during the consultation process.

- Inquiry techniques: while using the above inquires techniques, the consultant was aware of the comfort that needs to be maintained with regards to use of language when consulting with the EM peoples. Prior to conducting consultation, check was made to ensure the EM peoples to be consulted have a preference for the language that should be used during the consultation exercise. For this subproject, despite the fact EM peoples are from Muong and Thai ethnic groups ... they confirmed before the consultation session that they were comfortable with Viet language. Therefore, the consultation was conducted using Viet language. To ensure language comfort for the EM consulted, each EM groups were consulted separately. A local person (from the same EM group) was invited to join the consultation just in case local EM language is required to maintain the smooth exchange of information between the EM peoples and the consultant team. The researchers who led the consultation sessions have extensive experience background on EM peoples in Vietnam.
- Consultation process: the consultation exercise was conducted in March 2015. The consultation exercise use both household survey, and focus group discussions/community meetings (as mentioned above) during the process of consultation. There were both men and women participating in the consultation. EM women, in particular, were encouraged to raise their

comments/questions. Where possible, cultural houses (for community meeting) were used to conduct the consultation (for focus group discussion/ community meetings).

4.3. Consultation outcome

Summary of ideas:

EM people in Xuan Du and Trieu Thanh communes gave broad support to the implementation of the subproject for the following reasons.

The Dong Be reservoir was deteriorated and the construction and upgrading works will improve the efficiency of dam safety, stable life for local people.

Although the subproject will have some adverse impacts on people in its area (see the Resettlement Action Plan of the subproject for more detail), there is no adverse impact of the sub-project to ethnic minorities in the project area. Moreover, all of them are beneficiaries in the irrigation command area of the sub-project. EM understand the positive impact and benefits the project brings to the local people, so that they fully agreed with the implementation of the project and expect the project will soon be implemented.

Summary on expectations of ethnic minority people:

Ethnic minority communities are supported by the Government to facilitate access to public services. However they are still poor due to lack of productive land, lack of knowledge of farming, animal husbandry, lack of investment knowledge, business and families with many dependents. This leads to hunger poverty rate for ethnic minorities is higher, the rate of high school dropouts, ... Therefore ethnic minorities in the project area of the proposed open training class manufacturing techniques, such as engineering planting peppers, zucchini, rice, corn... Technical Training backyard chicken raising, prevention of illness in poultry contact. Training and skills of business development.

In addition, they also wanted to be provided with amenities for the cultural house and public speaker system to promote and mobilize people to participate in community's activities better including the dissemination and propagation the project implementation.

During the implementation of the project's works items, in addition to the income recovery programs for people, the project need to apply the labor mobilization program from the community so that they can participate in working and gain more income.

In summary, the EM screening shows that there are 145 households agreed with EMDP as follows: 1) Economic development assistance to local ethnic minorities by implementing training courses on agriculture, developing business skills; 2) Communication programs.

For this subproject, at the reservoir site, a RAP has been prepared to ensure the loss of land/crop anticipated at the reservoir site will be appropriately and timely compensated for – as per project' RPF. There are not EM peoples affected as a result of land acquisition. At the command area which uses the water from the reservoir for irrigation purpose, there is no adverse impact anticipated for the EM peoples. An EMDP has been prepared for this subproject - on the basis of social assessment and consultation with the EM peoples to offer development opportunities for these EM present in the subproject area.

Free, prior and informed consultations with EM indicated that because there is no adverse impact anticipated for the EM peoples, and that the EMDP was prepared to provide development opportunities to EM peoples, there has been a broad community support from the EM peoples for the subproject implementation.

On the basis of the above, there is a broad community support from EM peoples (Xuan Du and Trieu Thanh communes) for the sub-project implementation.

4.4. Community consultation during the EMDP implementation

In order to ensure continued *free, prior and informed* consultation with EM peoples during EMDP implementation, the following EM community consultation framework will be used during the EMDP implementation, as summarized below:

During EMDP implementation, the same consultation approach (already used during EMDP preparation) will be adopted. Consultation will be on the basis of free, prior, and informed manner, and in a participatory manner, to see if EM communities have any additional feedback, and to check whether there any additional subproject impact that arises but were not anticipated during EMDP preparation. Where necessary, the way the EMDP is implemented, would be further elaborated, or updated in terms of methods of delivery to ensure the activities are carried out in a manner that are appropriate to the target EM peoples.

The EM communities benefiting from this EMDP should be involved in both implementation, and monitoring & evaluation to maximize the intended purpose of the EMDP. PPMU will take lead in implementing this EMDP and ensure EM peoples are involved in the process of implementation, monitoring and evaluation of the EMDP.

In the event where there are adverse impact identified before subproject implementation, particularly when the detailed engineering design are available during implementation of the Project, the consultation methods, as mentioned above, should be used to collect feedback from the affected EM peoples. Alternatives of technical engineering design should be explored to avoid adverse impact. In case where such impact could not be avoided, such impact should be minimized, mitigated, or compensated for.

In case where adverse impact are identified (when the technical design/construction methods are clear), affected EMs will be consulted and informed of their entitlements. The EMDP/RAP will be updated accordingly and will be disclosed prior to EMDP/RAP implementation.

4.5. Disclosure of EMDP

Once preparation of an EMDP is completed, it needs to be disclosed to affected EM peoples and their communities. The EMDP needs to be disclosed in an appropriate manner to ensure affected EM people and their community can conveniently access and can fully understand. In addition to public disclosure of the EMDP, meetings need to be given at the community where EM peoples are affected by the subproject.

The EMDP for this sub-project is also prepared in English by PPMU and submitted to the WB for Bank's disclosure at Bank's Infoshop prior to project appraisal. The Vietnamese version will be disclosed locally prior to project appraisal.

This section was prepared on the basis of the project's EMPF (please see the EMPF for details).

5. DEVELOPMENT ACTIVITIES PROPOSED UNDER THIS EMDP

Measures aim to ensure that ethnic people receive social and economic benefits which are suitable to cultural, gender and economic development conditions. These risks existed for minorities needs to be identified and have appropriate solutions.

If external monitoring determines that general measures listed below are not sufficient to address the risks, additional measures will be launched and related budget will be allocated. The specific measures to be funded by EMDP budget.

5.1. Activity 1: Support for development of ethnic minority communities

Ethnic minority communities in the project area are more difficult by lack of productive land, lack of knowledge of farming, animal husbandry, lack of knowledge and business investment. This leads to poverty rate for ethnic minorities is higher, the rate of school dropouts is high, ... Hence the opening of training courses in production techniques as techniques for growing peppers, zucchini, rice, corn Technical training of backyard chicken raising, prevention of illness in poultry and training on business skills will contribute to local economic development in general and ethnic minority communities in particular.

To implement this program, it needs to support for hiring extension experts, economic experts with experience in teaching at the local, organization finance of training courses for ethnic minorities.

Each activity consists of 3 training courses for ethnic minorities to understand necessary knowledge to serve for production and economic development.

Cost estimate of those activities is as follows: Remuneration for 3 specialists on cultivation, husbandry and economic: 20 million VND/specialist x 3 specialist x 3 courses. It is 180 million VND in total.

Cost of organization of training courses: 1 million VND/household for 145 households; that is 145 million VND in total.

Total cost of training is 325 million VND. It will be reviewed and approved by CPO.

5.2. Activity 2: Communication Programs

In two communes in the project area, allowances of 50 million will be allocated for the program on the development of ethnic minorities, including media strategy. The program will be discussed and proposed by hamlet and safety policy Consultants. The activities will focus on raising awareness of health and safety in the construction and operation of the dam system and dam safety. Participating in income generation activities is also an effective way to raise awareness.

5.3 Proposal on impact mitigation measures

World Bank's resettlement policy compels to minimize the required resettlement in possible places. In required resettlement places, it is necessary to ensure that affected people by the project, especially ethnic minority people are

supported to sustain their life at least equal to or better than their life before the project implementation. The technical design of design and consulting company when designing the Project Rehabilitating and improving dam safety of Dong Be reservoir must be discussed with the technical team, local authority and resettlement experts to minimize the land area appropriation and damage to houses, assets and crops of households.

During design and construction phases, the project also pointed out the measures to mitigate the impacts of land acquisition and resettlement. The sub-project Of Dong Be Rehabilitation and Safety Improvement does not involve land acquisition from the households. The design consultant has also proposed the suitable construction time so as to minimize the impacts on water source for cultivation of the households in the project area.

The issues related to HIV/AIDS, prostitution, and sexually transmitted infections (STI), etc. were identified as a potential risk in the Social Assessment for this subprojects. As a measure to avoid/mitigate the risks, not only among the construction workers (as mobile population) but among the community downstream the reservoir, which include Kinh and EM peoples present in the project area. A Public Health Intervention Plan has been prepared and attached in the Social Assessment prepared for this subproject (Please see Annex 2 of this subproject's Social Assessment for details).

This EMDP will be updated before implementation to confirm the development needs of EM people and to reflect any additional development needs that the EM people may need when the impact of the subproject is confirmed on the basis of final detailed engineering design.

6. COSTS AND BUDGET

6.1. Budget

All costs for EMDP of the sub-project will be delivered from the project's budget funded by World Bank.

Funding for implementation EMDP of subproject will be charged on the basis of specific activities proposed in the EMDP. The funds to establish and implement EMDP will be financed using Bank's fund under the project. PPMU will cooperate to implement EMDP to ensure EM present in the subproject area receives socio-economic benefits consistent with their culture. Fund of EMDP implementation will support directly to each household through the provinces, districts, communes and villages.

6.2. Cost estimate

Cost of EMDP is rounded **431,250,000 VND** (approximately for 19,828 USD). This number includes specific measures, provisions. Monitoring and evaluation cost of EMDP will be integrated in the cost of RAP monitoring and evaluation that will be funded by the DRSIP project.

Table 12. Budget of ethnic minority development plan

No.	Programs and activities	Unit	Amount	Unit Price (VND)	Total (VND)
1	EDMP				80,000,000
	Supporting for hiring experts: including cultivation experts, livestock experts, veterinary and economic experts.	Experts	9	20,000,000	180,000,000
	Supporting funding for organization of training classes.	EM households	145	1,000,000	145,000,000
	Communication program	Commune	2	25,000,000	50,000,000
2	Contingency	%	15%		56,250,000

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	Total (VND)				431,250,000
	Total (USD)				19,828

(Exchange rate: 1 USD = 21,800 VND)

7. GRIEVANCE REDRESS MECHANISM

The grievance mechanisms under the Project will be two-tiered: one internal to the communities concerned and the other, involving third-party/external mediation. For each Project province, a Grievance Redress Committees will be established from villages/districts to provincial levels built on the existing structures consisting of concerned departments, mass organizations, women and ethnic representatives. At the village level, community based co-management will incorporate in the existing grievance mechanisms that will be chaired by elder and/or spiritual/tribal leaders, which are largely acceptable to local communities, particularly the ethnic minority groups.

The grievance redress mechanism will be applied to persons or groups that are directly or indirectly affected by the Project, as well as those that may have interests in a Project and/or have the ability to influence its outcome, either positively or negatively. The Project will provide training and support to strengthen these existing structures for effectively and collectively dealing with possible grievances that may arise during the course of the project implementation. All complaints and grievances must be properly documented by PPMU, with copies being filed at commune and district levels.

If the EM peoples are not satisfied with the processes, mitigation measures, or any other issues, the EM themselves or their representatives or village leaders can lodge their complaints to the PPC or to the PPMU following the grievance redress mechanism established in the EMDP. All grievances will be addressed promptly, and in way that is culturally appropriate to the EM peoples. All costs associated with EM's complaints are exempt to EM complainants. PPMU and independent monitoring consultant are responsible for monitoring the progress of resolution of EMs' complaints. All cases of complaints must be recorded in PPMU project files, and be reviewed regularly by independent monitoring consultant.

The grievance redress mechanism is established on the basis of the Vietnam's laws.

The mechanism of complaint and complaint and grievances resolution steps are as below:

First Stage - At People's Committee of Xuan Du and Trieu Thanh Communes

An aggrieved APs may bring his/her complaint to the One Door Department of the Commune People's Committee (CPC), in writing or verbally. The member of CPC at the One Door Department will be responsible to notify the CPC leaders about the complaint for solving. The Chairman of the CPC will meet personally with the aggrieved APs and will have 30 days following the receiving date of the complaint to

resolve it. The CPC secretariat is responsible for documenting and keeping file of all complaints handled by the CPC.

Second Stage - At People's Committee (DPC) of Nhu Thanh and Trieu Son District

If after 30 days the aggrieved EM household does not hear from the CPC, or if the APs is not satisfied with the decision taken on his/her complaint, the APs may bring the case, either in writing or verbally, to any member of the DPC or the DRC of the district. The DPC in turn will have 30 days following the receiving date of the complaint to resolve the case. The DPC is responsible for documenting and keeping file of all complaints that it handles and will inform the DRC of district of any decision made. EM households can also bring their case to Court if they wish.

Third Stage - At Thanh Hoa Provincial People's Committee (PPC)

If after 30 days the aggrieved PAP does not hear from the DPC, or if the PAP is not satisfied with the decision taken on his/her complaint, the PAP may bring the case, either in writing or verbally, to any member of the PPC or lodge an administrative case to the District People's Court for solution. The PPC has 45 days within which to resolve the complaint to the satisfaction of all concerned. The PPC secretariat is also responsible for documenting and keeping file of all complaints that it handles. EM households can also bring their case to Court if they want.

Final Stage –The Court

If after 45 days following the lodging of the complaint with the PPC, the aggrieved PAP does not hear from the PPC, or if he/she is not satisfied with the decision taken on his/her complaint, the case may be brought to a court of law for adjudication. Decision by the court will be the final decision.

Decision on solving the complaints must be sent to the aggrieved APs and concerned parties and must be posted at the office of the People's Committee where the complaint is solved. After three days, the decision/result on solution is available at commune/ward level and after seven days at district or province level.

To ensure that the grievance mechanism described above are practical and acceptable by the EM by the subproject, this will be consulted with local authorities and local communities taken into account of specific cultural attributes as well as traditional, cultural mechanisms for raising and resolving complaints/conflicts. If the ethnic minority objects, efforts will be also made to identify and determine ways to resolve that is culturally acceptable to them.

In addition to commune level (mentioned above) where EM peoples could lodge their questions/comments, or complaints officially, EM peoples may contact directly PMU

using the contact details provided in the Project Information Leaflet in case there have any questions related to subproject goal/scope/impact, etc, or including general compensation and support policies.

Since grievances lodged are primarily related to in the case involving land acquisition, to ensure the grievances are timely and effectively addressed, the following measures should be used by both designed contact points at commune and PMU level.

A recording system/book that records systematically complaints received. This grievance system should be maintained by contact point for GRM at both commune and PMU level. Record should show when the complaints are lodged, by whom, and how, and by whom such grievances are solved, and when the solving is completed. Pending issues that last for more than one month, for example, should be flagged for timely and appropriate action on the part of PMU and local governments.

Where complaints are made verbally, such complaints should be recorded into the grievance recording system for timely following up and resolving.

Leaflets distributed to EM peoples, including those adversely affected as well as beneficiaries should, in addition to project information (as mentioned above) indicate clearly contact person(s) – at commune and PMU level to facilitate the convenient lodging of questions/complaints, if any, from EM peoples.

This section was prepared on the basis of the project's EMPF (please see the EMPF for details).

8. MONITORING AND EVALUATION

8.1. Monitoring principles

To ensure that EMDP is implemented in a transparent manner and comply with EMPF as well as World Bank’s Indigenous Peoples Policy (OP 4.10), a monitoring and evaluation mechanism needs to be established and deployed for all project items during the project performance process. Monitoring and evaluation is a continuous process. PPMU will be liable to the internal monitoring and an external agency selected by Central Project Office (CPO) will be responsible for independent monitoring and evaluation. Based on the monitoring mechanism, a monitoring and evaluation plan on mitigation measure will be prepared by PPMU. This plan will describe:

- Internal monitoring process.
- Main monitoring indicators to be employed in internal and independent monitoring.
- Constitutional organizations;
- Report frequency, internal & independent monitoring content, feedback integration process from internal & independent monitoring into the implementation process.
- Independent monitoring method;
- Financial arrangements for independent monitoring and evaluation activity.

8.2. Internal Monitoring

Responsible agency. The Central Project Management Unit (CPMU) under the Central Project Office (CPO) will be responsible for the overall implementation of EMDP. CPMU is responsible for overall guidance to the PPMU and implementation of subprojects’ EMDP on the part of the PPMU.

Table 33. Internal monitoring indicators

Type of monitoring	Internal monitoring indicator
Expenditure and time	<ul style="list-style-type: none"> - Are sufficient personnel arranged for supporting ethnic minority people according to the plan? - Do support activities satisfy the set implementation plan? - Is expenditure for EMDP implementation allocated to implementation agencies timely and sufficiently?
Consultation, grievance and special issues	<ul style="list-style-type: none"> - Are community consultation and information dissemination implemented for EM people according to the plan?

	<ul style="list-style-type: none"> - Are concentrated group discussions implemented with small EM people samples? - How many EM people know about their benefits? - Do EM people know and use grievance mechanism as set up in EMPF? What are the results? - Quantity and type of grievances received (classified by gender and vulnerable group) - Quantity and type of grievances settled (classified by gender and vulnerable group) - Levels of awareness and satisfaction on benefits of EM people. - Satisfaction level on grievance mechanism.
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8.3. Independent monitoring

Responsible agency. An independent monitoring consultant (IMC) will be contracted to monitor the implementation of social safeguards of subprojects, including the EMDP. This service can be integrated into the contract for independent monitoring of the implementation of RAP. Monitoring report will be submitted to the World Bank for review and comments. External monitoring should be conducted twice a year during the implementation of the Project to timely identify issues that might need immediate action from CPMU and PPMU.

Table 144. Independent monitoring indicators

Type of monitoring	Independent monitoring indicator
Some basic information about EM households	<ul style="list-style-type: none"> - Location - Number of EM households - Average number of household members, age, literacy - Gender of householder - Access level to medical & educational services, utilities and other social services - Types of land and legal land use status - Occupation and employment - Source and level of income
Satisfaction level of EM people	<ul style="list-style-type: none"> - Do EM people agree with the EMDP implementation? - How do EM people assess about the recovery level of their living standard and livelihood? - How is the awareness level of EM people about grievance

Type of monitoring	Independent monitoring indicator
	process and grievance redress procedure? - Have grievances of EM people been received and solved timely and satisfactorily in accordance with the regime in EMPF?
Effectiveness of support	- Are benefits for EM people satisfactory? - Is there any support for vulnerable group?
Other impacts	- Are there any unexpected impacts on employment or income of EM people? - How are those unexpected impacts solved (if any)?

This section was prepared on the basis of the project’s EMPF (please see the EMPF for details).

9. IMPLEMENTATION ARRANGEMENT

The Ministry of Agriculture and Rural Development (MARD), on behalf of the Government, is the project owner, has overall responsibility for the whole project. The provincial governmental authorities of the project provinces are the Employers of the Subprojects, has responsibility for investment decisions under Subprojects managed by the Ministry and the provinces. A Project Steering Committee (PSC) will be established, including representatives of the MARD, relevant Ministries and sectors, the provincial governmental authorities of the project provinces, to be responsible for frequent monitoring and managing the Project during its implementation process.

Central level: CPMU under CPO will be established to coordinate policy and strategy issues, making the entire guide and assist in the coordination. CPMU responsible for overall implementation of the EMDP was prepared under the DRSIP /WB8. CPMU will ensure that all PPMU understand the purpose of EMPF and how to submit EMDP for the subproject. The CPMU is responsible for providing technical support to PPMU in preparing EMDP for the subproject. CPMU is responsible for ensuring effective implementation of the EMDP, including monitoring and evaluation of the results of the EMDP implementation. At the outset of the project implementation, CPMU will provide training to its social staff – at central and provincial levels, to enable them to undertake screening (of EM present in the influence area of the subprojects) to determine when an EMDP is needed, and on the basis of the screening result, conduct social impact assessment, and prepare EMDP. Where local capacity is insufficient to

prepare an EMDP, qualified consultants may be mobilized to assist PPMU in development the EMDP for a subproject in accordance with the EMPF.

Provincial level: The PPMU and local governments are responsible for preparing, implementing the EMDP. Appropriate staff and budget – sufficient to achieve the objective of an EMDP, need to be included in the EMDP for Bank’s prior review and approval prior to implementation. In case where EM peoples are affected as a result of land acquisition, to allow construction of subprojects, compensation, assistance to EM affected will be addressed through relevant RAP which is prepared of subproject in accordance with the project’s RPF.

Prior to implementation, this EMDP needs to be updated to a) reflect the detailed steps in implementation of these activities, b) budget required for each of the activities, and c) methods of implementation to ensure these activities are conducted in the way that are the most beneficial and culturally appropriate to the EM peoples.

ANNEX

Summary of consultation results

- ✓ Consultation time: 02-03/3/2015
- ✓ Consultation location: Xuan Du and Trieu Thanh communes, NhuThanh district, Thanh Hoa province
- ✓ People consulted: 27 persons of Muong ethnic, 2 persons of Thai ethnic and 6 persons of Kinh ethnic (his wife belongs to Muong ethnic)
- ✓ Number of participants: 35
- ✓ Results of consultation:

1. Cultural characteristics:

Muong is an ethnic group living in mountainous area in northern part of Vietnam and they live most densely in Hoa Binh province and mountainous districts of Thanh Hoa province. Muong people live and cultivate permanently in areas where productive land is available, close to roads and convenient to work and travel. In the project communes, they live together with Kinh people in villages and integrate their lifestyle and cultivation habits with the Kinh group.

The Thai people have their own language and traditional clothes which are worn only in festivals and special days. Daily communications in families are in their language. Young people can read and write Vietnamese fluently, but this is quite limited among old people. The Thai have lived together with the Kinh for a long time in the locality. Funeral and wedding rituals are similar to those of the Kinh, no exhumation is carried out because Thai people believes that the dead moves to live in another world.

2. Main livelihood activities:

The main income of almost people in project site is agriculture including crop cultivation and domestic husbandry. The main crops cultivated by the local people include paddy rice, maize, soybean, groundnut, sugarcane, vegetables and some fruit trees. Depending on locality and water resource, Farmers in the project area produce two (one rice + Up-land crop) to three (two rice + Up-land) crops per year. However, in the surveyed localities, a lot of people suppose that their current agricultural production is precarious because of depending too much on weather and operation of irrigation reservoir

Muong people are tradition farmers and paddy rice is their main food crop. Significant secondary income of Muong families is exploiting forestry products such

as agarics, cat's ear, cinnamon, honey, timber, bamboo, rattan, etc. Typical handicrafts of Muong are weaving, knitting, reeling silkworms, etc. Many Muong women do weaving with quite sophisticated skills.

3. Current situation of irrigation and water supply system

The majority of the project area households surveyed bathing water activities use water wells and water wells (90%), 10% of households use water from the Dong Be reservoir.

If the notion of relatively clean water in rural areas, so the sources are included: water wells / dug, rain water 98% of people in the project area is relatively assured supply of water for drinking. However, it must be noted that people in the project area do not use water ponds and reservoir used for drinking water.

4. Land acquisition, compensation and resettlement

No land acquisition in the project area. Although the subproject will have some adverse impacts on people in its area, there is no adverse impact of the sub-project to ethnic minorities in the project area. Moreover, all of them are beneficiaries in the irrigation command area of the sub-project.

5. Aspiration of ethnic minority people

Ethnic minority communities are supported by the Government to facilitate access to public services. However they are still poor due to lack of productive land, lack of knowledge of farming, animal husbandry, lack of investment knowledge, business and families with many dependents. This leads to hunger poverty rate for ethnic minorities is higher, the rate of high school dropouts, ... Therefore ethnic minorities in the project area of the proposed open training class manufacturing techniques, such as engineering planting peppers, zucchini, rice, corn... Technical Training backyard chicken raising, prevention of illness in poultry contact. Training and skills of business development.

In addition, they also wanted to be provided with amenities for the cultural house and public speaker system to promote and mobilize people to participate in community's activities better including the dissemination and propagation the project implementation.

During the implementation of the project's works items, in addition to the income recovery programs for people, the project need to apply the labor mobilization program from the community so that they can participate in working and gain more income.

6. Project support

100% ethnic in the project area support for project implementation.

EM understand the positive impact and benefits the project brings to the local people, so that they fully agreed with the implementation of the project and expect the project will soon be implemented.