

INTEGRATED SAFEGUARDS DATA SHEET

APPRAISAL STAGE

Report No.: ISDSA14082

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I. BASIC INFORMATION

1. Basic Project Data

Country:	Vietnam	Project ID:	P152309
Project Name:	Vietnam Dam Rehabilitation and Safety Improvement Project (P152309)		
Task Team Leader(s):	Cuong Hung Pham, Marcus J. Wishart		
Estimated Appraisal Date:	28-Jul-2015	Estimated Board Date:	29-Sep-2015
Managing Unit:	GWA02	Lending Instrument:	Investment Project Financing
Sector(s):	Irrigation and drainage (35%), Energy efficiency in Heat and Power (30%), Water supply (30%), Public administration- Water, sanitation and flood protection (5%)		
Theme(s):	Natural disaster management (35%), Water resource management (30%), Rural services and infrastructure (25%), Infrastructure services for private sector development (10%)		
Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?			No
Financing (In USD Million)			
Total Project Cost:	460.00	Total Bank Financing:	420.00
Financing Gap:	0.00		
Financing Source			Amount
BORROWER/RECIPIENT			40.00
International Development Association (IDA)			420.00
Total			460.00
Environmental Category:	A - Full Assessment		
Is this a Repeater project?	No		

2. Project Development Objective(s)

The Project Development Objective is to improve the safety of dams under the Government's Dam Safety Program to protect downstream communities and economic activities through priority

investments and institutional enhancements.

3. Project Description

1. The project is based on a framework approach that is intended to help strengthen the Government system for dam safety and provide a flexible, responsive mechanism during implementation for prioritizing dams for physical rehabilitation and safety improvements. The number of dams to be financed under the project is not fixed, but an initial list of 450 dams has been prioritized based on an assessment of risk using the modified index developed during preparation and the estimated cumulative costs within the resources available. During implementation the initial number of dams to be financed under the project will be reviewed, revised and updated annually within the context of the framework. This process includes criteria for determining eligibility, the process for prioritization and the assessment of individual sub-project readiness. The annual review will be informed by resource availability taking into account the contract price for each of the sub-projects the year before and update those prioritized dams identified through the screening process to manage resource availability. This is intended to be an iterative process that will contribute to the institutional enhancements as well as the physical rehabilitation envisaged under the Government's dam safety program and is aligned directly with the provisions of Decree 72 governing the management of dam safety in Vietnam.

2. The project provides an optimized mix of both structural and non-structural measures designed to improve dam safety. Structural measures include physical rehabilitation and upgrading safety work of existing dams and appurtenant structures, including instrumentation and associated dam safety planning instruments. Such physical works represent the large part of the IDA financing (>80%). Non-structural interventions have been proposed to support a range of institutional and regulatory measures, as well as pilot specific basin level measures. These basin level measures are aimed at improving data collection platforms, inter-institutional information management and integrating dam and reservoir operations within the basin context. To help manage the increasing complexity, the project will also help improve institutional coordination mechanisms as an integral part of those measures aimed at improving operational dam safety and supporting the regulatory environment and instruments to guide future development and management of hydraulic infrastructure.

3. The majority of the 450 irrigation dams are classified as both small and large earth-filled embankment dams, with embedded intake structure. This preliminary list of 450 irrigation dams from 34 Provinces have been identified through an iterative, consultative prioritization process with the national and provincial authorities. Of the initial 450 dams prioritized for IDA financing, 334 (74%) are less than 15m in height, whilst 116 (26%) are higher than 15m and defined as large dams. Of these large dams, more than half are found in only ten provinces, with these ten provinces accounting for roughly 37% of the preliminary cost estimate. In term of forecasting capacity, 431 (96%) of the 450 prioritized dams report having no upstream forecasting capacity or observation and monitoring at the dam, while 85% report having less than 30% of the staff trained in operations and maintenance. Through the annual review process those investments that have the necessary risk assessments, engineering design and tender documents ready will move into implementation subject to satisfactory review while the readiness filter will help ensure that those prioritized on technical grounds are fast tracked through the preparation process.

4. The three components proposed under the project are:

Component 1: Dam Safety Rehabilitation (US\$405m of which IDA US\$375m)

5. This component will be implemented through MARD and the Provinces with the aim of improving the safety of irrigation dams through physical rehabilitation of existing infrastructure. The implementation includes two different approaches required for the rehabilitation of small and large dams, community-managed dams. The difference between the two approaches relates not only to the types of works and the regulatory framework involved, but also the institutional and implementation arrangements required to undertake such works and ensure their sustainable operations and maintenance. The activities would include: (i) detailed engineering design, safeguards policies documents, supervision and quality control of rehabilitation works and associated safeguards compliance for prioritized dams and associated infrastructure; (ii) rehabilitation works, including civil works, hydro-mechanical works and installation of hydrological and safety monitoring system equipment; (iii) preparation of Operation and Maintenance Plans, Instrumentation Plans and Emergency Preparedness Plans; and (iv) preparation and adoption of standardized safety checklist for community-managed dams. Financing under this component would be used for consulting services, works, goods and non-consulting services. Implementation of a three steps process framework applicable to this important component is presented in Annex 2.

Component 2: Dam Safety Management and Planning (US\$40m of which IDA US\$35m)

6. This component will be implemented through MARD, MOIT and MONRE with the aim of improving the planning and operational framework for dam management to safeguard the downstream communities and socio-economic infrastructure. Three common and mutually reinforcing sub-components are envisaged, including: (i) technical services and strategic studies; (ii) institutional, legal and regulatory improvements; and (iii) capacity enhancement and professional development. Technical services and strategic studies would include hydrological assessments; installation of hydrological observation networks; development of an integrated information management system for dam safety based on a common platform that will facilitate integration within a scheme to inter-scheme within a basin and the national level; formulation and adoption of emergency preparedness plans including dam break analyses, downstream flood mapping and benchmarking; along with technical studies necessary such as hydrological study at basin level, cascade operational procedures etc. to ensure compliance with internationally-accepted levels. Institutional, legal and regulatory activities would include development of technical specifications, safety norms and standards, including dam classifications, regular safety audit, emergency repair procedures etc... Capacity enhancement and professional development would include specific interventions to address operation and maintenance, enhance capacity, sensitize and simulate execution of the emergency preparedness plans, coupled with community mobilization, awareness and education. Financing under this component would be used for consultant services, works and goods, equipment and non-consulting services. Detailed activities of and indicative budget allocation for each participating ministries are presented in Annex 2.

Component 3: Project Management Support (US\$15m of which IDA US\$10m)

7. This component will provide the necessary enabling environment to support project implementation. This will include support for the following: (i) High Level Decision Making Working Group (HLWG) composed of MARD, MoIT and MoNRE, along with other relevant Government agencies, to coordinate and oversee all project interventions; (ii) Project Management Units (PMU) within MARD, MoNRE, MoIT and the Provinces 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 Engineering and Quality Assurance; (iv) an Environmental and Social Service Provider; (v) an independent international Panel of Experts (POE); (vi) Establishment and operations of a National Dam Safety Review Panel; (vii) Technical Assistance for beneficiary departments within MARD,

MoIT and MoNRE to provide the necessary support services for timely and effective project implementation; and (viii) an Independent Third Party Monitor for construction and quality control. Financing under this component would be used for consulting services, goods, equipment, non-consulting services, and incremental operating costs associated with project implementation, management and monitoring.

4. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

An estimated 450 dams have been identified for inclusion under the project from 34 provinces in the North, Central and Highland regions. The number of dams and provinces may vary due to the extent of the rehabilitation and safety work and the availability of the budget. These prioritized under the project have been identified through an iterative, consultative prioritization process with the national authorities and provincial agencies in accordance with the framework developed during preparation. The proposed project will be implemented in thirty four (34) provinces in the North, Central and Highland regions. Fourteen (14) provinces (Ha Giang, Tuyen Quang, Yen Bai, Phu Tho, Quang Ninh, Hoa Binh, Son La, Dien Bien, Cao Bang, Bac Kan, Bac Giang, Hai Duong, Ninh Binh and Vinh Phuc) from North has been identified. The general topography of North is characterized by mountainous terrain with narrow valleys and alluvial soil offering better opportunities for stable agriculture. The variation in elevation and the unevenness of topography contribute to shaping an environment that has diverse agro-ecological zones with specific development needs and priorities. It stretches from the Red River valley to the Gulf of Tonkin. Also fourteen (14) provinces (Ninh Binh, Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri, Thue Thien-Hue, Quang Ngai, Quang Nam, Binh Dinh, Khanh Hoa, Phu Yen, Ninh Thuan and Binh Thuan) selected from Central part. This part is sloping and narrow, its mountains, plains are closing to its coastline. The part is cut and divided by rivers originating from western mountain ranges flowing into the South China Sea. Along the coastline are small plains. Between sloping mountainsides are narrow and deep valleys. Another five (5) provinces (Gia Lai, Dak Lak, Dak Nong, Lam Dong and Kon Tum) have selected Central Highlands. The last one is Tay Ninh province in South-East region. Within the southern portion of Vietnam is a plateau known as the central highlands approximately 51,800km² of rugged mountain peaks, extensive forests, and rich soil. Comprising relatively flat plateaus of basalt soil, the highlands account for 16% of the country's arable land and 22% of its total forested land.

The first year twelve (12) subprojects have been selected from eleven (11) provinces. These are: Tuyen Quang, Phu Tho, Quang Ninh, Hoa Binh (Northern); Thanh Hoa, Nghe An, Quang Binh, Quang Ngai, Binh Dinh, Binh Thuan (Central) and Lam Dong (Highland). The ESIA of the 12 first year sub-projects showed that the main functions of the dams are built to irrigation. Except Song Quao Reservoir of Binh Thuan province that was constructed by penetrated asphalt concrete, the rest of dams to be rehabilitated are earthen structures and are considered as small dams. Also, the small and medium reservoirs were built since 1970s of the 20th century, some of them (Dai Thang reservoir of Hoa Binh province) were constructed in 1960. The large dams are built in year 1990s such as Song Quao (Binh Thuan province), Da Teh (Lam Dong province), Phu Vinh (Quang Binh province) reservoirs.

5. Environmental and Social Safeguards Specialists

Tuan Anh Le (GSURR)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental	Yes	The physical rehabilitation works will be carried out in

Assessment OP/BP 4.01		situ and mainly 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 access management roads. Overall, the environmental impacts of the project are expected to be positive due to improvements of the safety of existing dams and establishment of an effective system for monitoring and ensuring the necessary operation and maintenance. However, the subprojects will have several construction related impacts and this policy has been triggered to assess the environmental and social impacts associated with the rehabilitation and safety improvement work. Twelve (12) Environmental and Social Impact Assessment (ESIA) for 12 first year subprojects have been prepared based on the agreed ToR. These ESIA's will be further updated during preparation of the detailed engineering designs of 12 subprojects particularly in collecting additional baseline information as needed such as waterways/river systems and aquatic flora. An ESMF has been prepared and disclosed during preparation phase given that the subprojects will be identified during project implementation. Each subproject will go through environmental and social screening. The full scale Environmental and Social Impact Assessment (ESIA) will be carried out for all category 'A' subproject. Category 'B' subproject will require limited ESIA or ESMP.
Natural Habitats OP/BP 4.04	Yes	It is expected that no pristine or natural habitat area will be inundated from rehabilitation and safety improvement work. Also no significant change expected on hydrological regime and ecosystems due to project related activities. The first year subproject ESIA's indicate that there will be some loss of crops and trees. Also there is risk associated with possible land and soil degradation in the construction sites and vicinities including improper disposal of construction wastes and spoils. The issue of natural habitats will be addressed by subproject ESIA of each subproject, which will assess the impact on aquatic ecosystems and downstream users of dam.
Forests OP/BP 4.36	No	The proposed project will not have any impact on the health and quality of forests, the rights and welfare of people and their level of dependence upon or interaction with forests; and the management, protection, or utilization of natural forests or plantations. Subprojects

		having negative impacts on forest will not be supported under the project.
Pest Management OP 4.09	Yes	The project will not finance any procurement of fertilizers and pesticides. However, some of the subproject activity will result in increase of agriculture command areas. This may lead to more uses of fertilizers and pesticides in the project influence areas. Integrated Pest Management (IPM) guidance has been included in the ESMF.
Physical Cultural Resources OP/BP 4.11	Yes	Since construction activities at dams will not be known a priori, there is a possibility that due to excavation work, property of historical, cultural or religious importance may be found. ESMF has provided the guidance on physical cultural properties.
Indigenous Peoples OP/BP 4.10	Yes	Ethnic Minority peoples (as per OP 4.10) have been identified as being present in some of the project areas - as indicated in five of the twelve first-year subprojects. Thus, an Ethnic Minority Policy Framework (EMPF) has been prepared, as per OP 4.10, on the basis of the social assessment, and free, prior, and informed consultation with the EM present in first-year subprojects. EMPF is used to guide preparation of EMDPs for first-year subprojects, as well as subprojects to be identified during project implementation. On the basis of free, prior, and informed consultation with EM peoples from five first-year subprojects, there is a broad community support from EM peoples for these subproject implementation because these subprojects aim to improve dam safety and ensure reliable water access for irrigation. Where adverse impact is anticipated, and is likely affecting EM peoples (i.e. Dai Thang subproject, Hoa Binh province), mitigations measures were developed (as part of subproject RAP) to address adverse impact, and development activities were developed (as part of EMDP) in consultation with the affected EM to ensure affected EM receive development supports that are culturally appropriate to them. During project implementation, new subprojects to be identified will be subject to social screening. This is to ensure new subprojects will be financed only when there is a broad community support from EM peoples at subprojects that affect them. Broad community support will be obtained on the basis of free, prior, and informed consultation with EM peoples from the subproject area.
Involuntary Resettlement OP/BP 4.12	Yes	The project will require (minor) temporary and permanent land acquisition. In addition, construction phase impacts may affect the supply of irrigation water to agricultural producers with some subprojects. Thus, a Resettlement

		Policy Framework (RPF) has been prepared in accordance with OP 4.12. RPF has been used to guide the preparation of 11 first-year subprojects, and subsequent RAPs to be identified during project implementation. On the basis of the 12 first-year subprojects, only 103 households are permanently affected with their land and crops. Only 13 need to resettle. Most are temporary affected as a result of land taking. Temporary water restriction is anticipated at three out of 12 first year subprojects for which their impact are compensated for through subproject RAPs. Given the scope of dam rehabilitation and the nature of impact, it is anticipated that the impact at the subproject level are minor. Where adverse impact are not avoidable – through engineering alternatives, compensation/support will be made 0 as per project's RPF.
Safety of Dams OP/BP 4.37	Yes	The project is focused on interventions aimed at improving the safety of dams with identified rehabilitation needs and at risk of structural failure and so the project is designed to directly address the requirements of the policy. Each subproject will prepare Dam Safety Report (DSR) based on the Dam Safety Framework (DSF). The DSR of 12 first year subprojects have been completed and reviewed
Projects on International Waterways OP/BP 7.50	Yes	It is expected that some of the dams may be located on international river basins. As physical project activities would be of rehabilitation nature, a waiver for notification has been sought in accordance with the OP.
Projects in Disputed Areas OP/BP 7.60	No	

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

<p>1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:</p> <p>The primary objective of the project is to improve dam safety. The project thereby increases protection to people and socio-economic infrastructure downstream of dams facing high risk of failure and improves dam safety management at national and scheme level. The project has been designed to provide a comprehensive risk based, portfolio approach that provides a framework for the identification, selection and prioritization of dams at risk. It includes structural measures to support the physical rehabilitation of dams and appurtenant structures, along with non-structural, institutional and regulatory measures to enhance the long term operational sustainability.</p> <p>A comprehensive risk based, portfolio approach that provides a framework for the identification, selection and prioritization of dams at risk has been developed during preparation based on established techniques and standard approaches for dam rehabilitation and management to enable implementation across a large number, distribution and type of dams. The approach is aimed at re-</p>

enforcing the Government systems to guide the selection and prioritization of dams to be rehabilitated under Component 1 of the project and has been developed using a three step process. This is based on an a priori agreed set of selection criteria aimed at prioritizing those interventions that address the risks within an explicit poverty and inequality framework, including those to: (i) determine the eligibility for financing under the project; (ii) prioritize the interventions; and, (iii) inform the level of readiness.

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 in-situ 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 access management roads. However, the feasibility study indicates some dams may require an increase in height to improve dam safety perspective. Nevertheless the increase in dam height does not necessarily mean increase in the storage capacity unless the elevation of the spillway crest also increased. The project will support the increase of height of a dam only after assessing the supporting evidence to demonstrate the improved safety benefits.

The rehabilitation work will also not expect to modify the hydrological flow or regime. However, there will likely be impacts during the implementation such as construction activities for improving the access roads, worksite camp facilities, borrow pits, quarries and dumping sites. The other environmental impacts may include temporary traffic congestion, construction related worker health and safety, service disruption due to civil works and the potential temporary flood risk in downstream during construction period etc.

A Social Assessment was conducted in an integral manner with environmental assessment for twelve first-year subprojects. The findings confirm the overall project impact is positive. However, some adverse impacts are not avoidable. These include minor permanent acquisition of land (for most dams) and temporary impact on farming activities of the people downstream (for some dams) where water supply are reduced/interrupted to allow rehabilitation activities. Impacts resulting from land acquisition and water cut during dam rehabilitation are compensated for as per project's RPF. In subprojects where ethnic minority peoples are present, as confirmed by ethnic minority screening, an Ethnic Minority Development Plan is prepared on the basis of the results of social assessments and consultations with ethnic minorities. Consultations with ethnic minority peoples were conducted in a free, prior and informed manner with the aim to inform local ethnic minority communities of the project activities, including its potential project impacts, and on the basis of that, solicit their feedback, and broad community support from EM peoples for project implementation. Since the overall impact for the twelve first-year subprojects is positive whereas negative impact on ethnic minority peoples is overall small (only with one subproject of Dai Thang, Hoa Binh province), ethnic minority peoples consulted (from five of twelve subprojects having EM peoples) indicated their broad community support for subproject implementation. Gender analysis was conducted as part of SA for each subproject, and gender action and monitoring plan was developed to promote gender equality and community participation.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

The physical rehabilitation works will be carried out in situ and the proposed project is not intended to support significant structural modifications or expansions beyond that required to

<p>ensure dam safety. No major in-direct or long-term negative impacts are expected. Both the structural and non-structural work will result in reducing dam failure. Since the rehabilitation of dam will increase the agricultural command areas, the project may have some negative impact due to application of fertilizers and pesticides. No potential large scale, significant and/or irreversible social impacts that are envisaged - as forecast through the social assessment and environmental assessment of the project activities.</p>
<p>3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.</p>
<p>All the subprojects will be reviewed with the context of ‘no project’ option. In addition, the other facilities like the access road will be assessed with alternative routes, methods of construction etc. All subprojects will consider various construction measures to avoid/minimize the need for land acquisition, and avoid temporary impact on farming activities downstream the dam due to temporary water cut for rehabilitation purpose. The ESIA will consider the technical, financial, environmental and social aspects in carrying out the alternative analysis. All the alternative analysis will also be considered with no subproject situation and also consider the increase of height from safety perspective (if necessary).</p>
<p>4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.</p>
<p>Since sub-projects will be identified during the project implementation phase, a framework approach has been adopted for the project. MARD has prepared the Environmental and Social Management Framework (ESMF) by hiring consultant. The ESMF has been prepared based on the: (i) reviewing the environmental and social policy requirement of the World Bank and the requirement of the national legislation; (ii) environmental and social impact assessment of twelve (12) subprojects of the first year; (iii) experience of similar kind of the World Bank supported project implementation; (iv) stakeholders consultations during project preparation; and (v) identification of the institutional barriers and capacity building needs for environmental management. The ESMF also provides guidance on screening of social and environmental legacy issues. It includes also guidance of screening for protected area, and how to prepare process framework in cases new sub-projects are located in a protected area, and/or national parts. The ESMF meets the requirements of the World Bank Environment Safeguard Policy and also the requirement of the Government of Vietnam. The ESMF will be complemented by the Dam Safety Framework (DSF), the Resettlement Policy Framework (RPF) and the Ethnic Minority Policy Framework (EMPF). Fifty-four different safeguard instruments have been prepared during preparation for the 12 first-phase sub-projects. These include 12 integrated ESIAs, 12 stand-alone SAs, 11 RAPs and one Abbreviated-RAP, five EMDPs, 12 DSRs and one consolidated Executive Summaries of all ESIAs.</p> <p>MARD has reasonable experience in implementing the environmental management framework of the World Bank funded projects. To support project preparation, a Project Preparation Team (PPT) has been established under the Central Project Office of the Ministry of Agriculture and Rural Development. The PPT is the formal and focal team responsible for preparation of safeguards documents and obtain necessary approval from the Government for the prepared safeguards document. For implementation of the project, a Central Project Management Unit (CPMU) will be established under the Central Project Office of MARD with responsibility for implementation. CPMU will be also responsible for guiding project provinces, reviewing and determining the eligibility, prioritization and readiness of the sub-project investments, as well as capacity building and compliance assurance with regards to the safeguards frameworks/requirements, and the sub-project assessments. CPMU will hire the services from an International Environment & Social</p>

firm to review the safeguards documents and also supervise the implementation of the Environment and Social Management Plan. In addition, an Independent Third Party Monitor will be engaged by CPMU to carry out regular, independent monitoring and evaluations of subproject RAP, EMDP, ESIA, EMPs, etc... to ensure safeguard compliance with the approved safeguards frameworks.

A National Dam Safety Review Panel and an International Dam Safety Panel would be established under the project to provide independent review and guidance to MARD and the Provincial authorities during implementation.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

The principal project beneficiaries are: i) households relying on dams and associated appurtenant for irrigated agricultural and aquaculture production, water supply and hydropower generation; and ii) those downstream communities and economic activities that are at risk in the event of dam failure.

The other stakeholders are different government ministries including Ministry of Agriculture and Rural Development (MARD), Ministry of Industry and Trade (MOIT), Ministry of Natural Resources and Environment (MONRE), Provincial People's Committee (PPC), private owners, consultants, contractors etc. The ESMF and 12 subprojects have been developed through detailed consultative process especially project affected people. All the relevant project stakeholders, including project beneficiaries and project (adversely) affected households were consulted during the social assessment exercises. EM peoples present in the subproject areas were also consulted in a free, prior, and information manner to confirm broad community support from them for subproject implementation.

The draft ESMF document and Executive Summary of twelve (12) subprojects ESIA with Vietnamese version has been disclosed both in the MARD website (www.mard.gov.vn) on May 29, 2015 and the Bank's Infoshop on May 28, 2015 for public comments. The hard copies of the document have also been made available in provincial level DARD offices. The following social documents were disclosed on Bank's Infoshop; RPF, EMPF (25 May 2015), 11 RAPs (26 May 2015), 5 SAs (23 June 2015), 5 EMDPs (25 May, and 27 June 2015). These documents were also disclosed locally in Vietnamese; RPF, EMPF, 11 RAPs, 1 EMDP (29 May 2015), and 5 SA and 4 EMDP (3 July 2015).

The preparation of TOR for safeguards preparation was initiated in February 27th, 2015 by MARD with participations of the relevant organization of MARD including Directorate of Water Resources, Department of International Cooperation, non-governmental organizations such as Committee on Large Dams and Water Development, Society of Irrigation, Water Resources Association, Office of Water Partnership Network of Vietnam, Centre for Natural Resources and Environment (CRES), Institute of Economics Ecology (ECO-ECO), Vietnam Association for Conservation of Nature and Environment (VACNE), Institute of Environment and Resources (IER), Representative staffs of Department of Agriculture and Rural Development of the first year subprojects, Environmental and Social Consultants at central level, Environmental and Social Consultants of the first year subproject.

Extensive consultation taken place at the provincial levels during the twelve (12) priority dam's ESIA preparation. These consultations provided valuable information for the ESIA preparation as

well as developing the ESMF. During the public consultation, the participants expressed their strong supports for investments under the project. Sub-project investments have been proposed, which will improve the safety of dam whereby resolve concerns of the locals people on potential risks to ensure stable and safe production, life of the people, and improve the quality of life. Besides, the participants also expressed their concerns about compensation related to land acquisition and measures to minimize the impact of the construction (such as interrupting water for irrigation and domestic users during construction phase, support and compensation, compliance, etc.).

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other	
Date of receipt by the Bank	23-May-2015
Date of submission to InfoShop	29-May-2015
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	00000000
"In country" Disclosure	
<i>Comments:</i>	
Resettlement Action Plan/Framework/Policy Process	
Date of receipt by the Bank	25-May-2015
Date of submission to InfoShop	26-May-2015
"In country" Disclosure	
<i>Comments:</i>	
Indigenous Peoples Development Plan/Framework	
Date of receipt by the Bank	00000000
Date of submission to InfoShop	00000000
"In country" Disclosure	
<i>Comments:</i>	
Pest Management Plan	
Was the document disclosed prior to appraisal?	NA
Date of receipt by the Bank	////
Date of submission to InfoShop	////
"In country" Disclosure	
<i>Comments:</i>	
If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.	
If in-country disclosure of any of the above documents is not expected, please explain why:	
Physical Cultural Resources Policies have been covered under ESIA.	

C. Compliance Monitoring Indicators at the Corporate Level

OP/BP/GP 4.01 - Environment Assessment			
Does the project require a stand-alone EA (including EMP) report?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.04 - Natural Habitats			
Would the project result in any significant conversion or degradation of critical natural habitats?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP 4.09 - Pest Management			
Does the EA adequately address the pest management issues?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Is a separate PMP required?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If yes, has the PMP been reviewed and approved by a safeguards specialist or PM? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.11 - Physical Cultural Resources			
Does the EA include adequate measures related to cultural property?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.10 - Indigenous Peoples			
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.12 - Involuntary Resettlement			
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.37 - Safety of Dams			
Have dam safety plans been prepared?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Have the TORs as well as composition for the independent Panel of Experts (POE) been reviewed and approved by the Bank?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Has an Emergency Preparedness Plan (EPP) been prepared and arrangements been made for public awareness and training?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]

OP 7.50 - Projects on International Waterways			
Have the other riparians been notified of the project?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Has the RVP approved such an exception?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
The World Bank Policy on Disclosure of Information			
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
All Safeguard Policies			
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Have costs related to safeguard policy measures been included in the project cost?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]

III. APPROVALS

Task Team Leader(s):	Name: Cuong Hung Pham, Marcus J. Wishart	
<i>Approved By</i>		
Safeguards Advisor:	Name: Surhid P. Gautam (SA)	Date: 10-Aug-2015
Practice Manager/ Manager:	Name: Almud Weitz (PMGR)	Date: 10-Aug-2015