

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

**ABBREVIATED
RESETTLEMENT ACTION PLAN
(A-RAP)**

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

**PROJECT: “DAM REHABILITATION AND SAFETY
IMPROVEMENT” WB8**

THANH HOA - MAY, 2015

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CONSULTING FIRM

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ABBREVIATIONS

AP	Affected person
CPO	Central Project Office
DARD	Department of Agriculture and Rural Development
DMS	Detailed Measurement Survey
DPC	District People's Committee
DRC	District Resettlement Committee
EMPF	Ethnic Minorities Policy Framework
EMDP	Ethnic Minorities Development Plan
ESMF	Environmental and Social Management Framework
GOV	Government of Vietnam
HH	Household
IOL	Inventory of Losses
WB	World Bank
LAR	Land Acquisition and Resettlement
LURC	Land Use Right Certificate
MOF	Ministry of Finance
MOLISA	Ministry of Labor, Invalids, and Social Affairs
NGO	Non-governmental Organization
OP	Operating Policy
PAD	Project Appraisal Documents
PPC	Provincial People's Committee
PPMU	Provincial Project Management Unit
PRA	Participatory Rapid Assessment
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
TOR	Terms of Reference
USD/\$	United States Dollar
VND	Vietnamese Dong
WB	World Bank

Notices

- (i) The fiscal year of the Government of Vietnam ended on December 31 of each year. Fiscal year before the calendar year denotes the year in which the fiscal year ends, e.g. fiscal year 2015 ended on December 31, 2015.
- (ii) In this report, "\$" means the US dollar.

Definition of Terms

Project impacts	Any impacts relating directly to land acquisition or limit using legal areas or protected areas
Affected persons	Any person who, as a result of the implementation of a project, loses the right to own, use, or otherwise benefit from a built structure, land (residential, agricultural, or pasture), annual or perennial crops and trees, or any other fixed or moveable asset, either in full or in part, permanently or temporarily.
Cut-off-date	Is the date when the PPC issues the Notification of Land acquisition for the relevant project (Article 67.1 of Land Law 2013) before implementation of detailed measurement survey. A census survey will done before the cut-off date is announced to establish a list of potential affected households.
Eligibility	Any person who used the land affected by the project and listed before the cut-off-date: (i) with formal legal right to land; (ii) without formal legal right to land but have a claim to such land or assets recognized under the laws of the country (iii) without recognizable legal right or claim to the land they are occupying.
Replacement cost	<p>For agricultural land, the replacement cost is the pre-project or pre-displacement, whichever is higher, market value of land of equal productive potential or use located in the vicinity of the affected land, plus the cost of preparing the land to levels similar to those of the affected land, plus the cost of any registration and transfer taxes.</p> <p>For land in urban areas, it is the pre-displacement market value of land of equal size and use, with similar or improved public infrastructure facilities and services and located in the vicinity of the affected land, plus the cost of any registration and transfer taxes.</p> <p>For houses and other structures, it is the market cost of the materials to build a replacement structure with an area and quality similar to or better than those of the affected structure, plus the cost of transporting building materials into the construction site, plus the cost of any labor and contractors' fees, plus the cost of any registration and transfer taxes. In determining the replacement cost, depreciation of the asset and the value of salvage materials are not taken into account, nor is the value of benefits to be derived from the project deducted from the valuation of an affected asset.</p>
Resettlement	Covers all direct economic and social losses resulting from land

taking and restriction of access, together with the consequent compensatory and remedial measures. Resettlement is not restricted to its usual meaning-physical relocation. Resettlement can, depending on the case, include (i) acquisition of land and physical structures on the land, including businesses; (ii) physical relocation; and (iii) economic rehabilitation of affected persons (APs), to improve (or at least restore) incomes and living standards.

Entitlements	Include compensation and assistance for APs based on the type and extent of damage.
Inventory of Losses (IOL)	Is process of accounting for physical assets and income affected by project.
Socio-economic Baseline Survey (BLS)	A socio-economic baseline survey of households, businesses, or other project-affected parties needed to: identify and accurately compensate or mitigate losses, assess impacts on household economy, and differentiate affected parties by level of impact.
Vulnerable groups	People who by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, or social status may be more adversely affected by resettlement than others and who may be limited in their ability to claim or take advantage of resettlement assistance and related development benefits.
Livelihood	Economic activities and income streams, usually involving self-employment and or wage employment by using one's endowments (both human and material) to generate adequate resources for meeting the requirements of the self and household on a sustainable basis
Income restoration	Re-establishment of sources of income and livelihoods of the affected households.
Stakeholders	Any and all individuals, groups, organizations, and institutions interested in and potentially affected by a project or having the ability to influence a project.

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SUMMARY OF ABBREVIATED RESETTLEMENT ACTION PLAN

- The objective of sub-project

The sub-project “Dong Be Dam Rehabilitation and Safety Improvement, Xuan Du commune, Nhu Thanh district, Thanh Hoa province” ensures that it will supply stable irrigation water for 255 (ha) of cultivated area in Hop Thanh commune, Trieu Son district and Xuan Du commune, Nhu Thanh district; supply domestic water for people in the project area.

Ensure dam safety, protect the life and property of downstream people, increase productivity and output; ensure food security, improve the lives of people in the project area, promote socio-economic development and environmental landscaping project area.

- Scope of impact

The implementation of sub-projects will have to acquire land and property in the land of the project area. However, since the subproject will **only rehabilitate** the existing works, it will not affect much people, and the level of impact on people is not high; **13 households (78 persons)** will be affected and 1.65 ha of aquaculture land (public land) of Xuan Du commune will be acquired. No household (HH) will be relocated; no vulnerable HH will be affected; no HH losing of 20% or more of total productive land; no grave will be affected. All of affected households (AHs) are belonged to Kinh ethnic group which is not ethnic minority.

The sub-project will acquire permanently 5,721 m² of public land people using in the dam’s protected area, including 3,039 m² agriculture land, 1,872 m² of upland crops land, 310 m² of aquaculture land and 500 m² of hilly land. The temporary land acquired for dumpsite is 10,815 m² of aquaculture land that the Communal People’s Committee (CPC) owns and contracts with HHs.

Regarding 4 HHs affected on their agricultural production on the dam’s protected area to be acquired, they will be lost of rice, upland crops, and trees with following estimated quantity: 10 banana trees, 500 bamboos, 20 eucalyptus, 1,610 acacias. 9 HHs will be affected on rice and upland crops cultivated in the dam’s protected area; 2 HHs will be affected on aquaculture in the public area that HHs contracted in short-term with CPC. No people’s structure is affected by sub-project.

The rehabilitation of sub-project will not affect irrigation water supply during construction period, not cause inundation at the upstream when accumulating water, not affect agricultural production and domestic water supply for people in the area of the subproject.

- The legal policy

The compensation, support and resettlement policy of the project is based according to the current rules and regulations of the Government of Vietnam and the WB's policy. If there are differences between the GoV and WB about regulations, policy, order, the WB's policy will be applied. This regulation is suitable for Decree No. 38/2013/ND - CP dated 23/4/2013. This Decree assigns that “Compliance with current regulations of the law of Vietnam and international treaties on ODA and concessional loans which the Government or the State of the Socialist Republic of Vietnam is a member. In the case of other treaties between ODA and

concessional loans to the provisions of the law of Vietnam on the same issue, the applicable provisions of international treaties"(Article 6, Section 7).

- Entitlements of affected people

The entitlements of people affected by subproject are prepared and presented in the Abbreviated Resettlement Action Plan (see table of entitlement matrix) with the effects identified in the estimated damage and socio-economic survey. The benefits will be updated. After review and consultation with the affected households aim to ensure that the damage will be recovered or improved.

- Information disclosure, public consultation and grievance redress mechanisms

The public consultation meetings, discussions at the communes with the affected households and CPCs' staffs was carried out during preparation of this A-RAP. The main contents were raised in terms of project's objectives, scopes, impacts, policies of compensation, assistance and plan of construction design.

The grievance redress mechanisms were established in compliance with the Law on Grievance 2011 to ensure all grievance of AHs will be redressed properly and timely. Grievance will be gathered and kept in the offices of CPC, DPC, District Resettlement Council, PPMU.

During Detailed Measurement Survey (DMS), replacement cost survey, the AHs will be informed of their benefits through notification and written documents during the process of consultation, survey at the time of paying compensation. After being approved, the A-RAP will be disclosed at community halls in the project area and to every AHs.

- Implementation organizations

MARD and CPO will regulate the implementation of the abbreviated resettlement action plan. MARD and the People's Committee of Thanh Hoa province will direct the Thanh Hoa department of Agriculture and Rural Development and the committee of Districts (Trieu Son and Nhu Thanh) in order that compensation, assistance is implemented in accordance with the provisions of this abbreviated resettlement action plan. The resettlement compensation council of districts with the representatives of affected households will be formed to organize the process of compensation.

- Compensation and land acquisition

The sub-project will affect only trees and crops without land acquisition of people because the land is within the dam's protected area and public land of Xuan Du CPC contracted with HHs.

- Estimated cost of compensation, assistance for resettlement

Total cost of the resettlement is about **654.672.500 Vietnam dong** (equivalent to **30.309 USD**). The cost of compensation and assistance is **298.672.500 Vietnam dong** (equivalent to 13,828 USD). The total cost of compensation and assistance for the resettlement will be calculated exactly after Detail Measurement Survey (DMS) for each area.

I. INTRODUCTION

1.1 Introduction of the project and sub-project

1.1.1 Dam Rehabilitation and Safety Improvement Project (WB8)

- Name of project: Dam Rehabilitation and Safety Improvement Project
- Sponsors: World Bank (WB)
- Management agency, project owner:
 - Management agency: Ministry of Agriculture and Rural Development (MARD)
 - Project owner: **Central Project Office (CPO)**
 - Sub-project owners: Thanh Hoa Department of Agriculture and Rural Development, Thanh Hoa Water Resources Project Management
- Duration of the project: 7 years from July 2015 to 2022
- Fund: 460,000,000 USD
- The overall objective of the project:

The “Dam Rehabilitation and Safety Improvement Project” is managed by the Ministry of Agriculture and Rural Development with a loan from WB in 31 provinces in the North, Central and Central Highland areas with overall objective is 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.

- Specific objectives of the project:
 - To improve dam safety and performance by repairing, upgrading, equipping with monitoring equipment, operation planning and maintenance;
 - To strengthen institution of dam safety management at national and system levels by completion of institutional framework on dam safety, including the construction and management of databases, addition of regulations, standards, guidelines, building capacity and coordination mechanism between stakeholders.
 - Flood management capacity building in the basin level and coordination mechanism of reservoir operation by improving forecasting capacity, developing integrated flood management plan and training capacity building.
- Specific objectives of the project:
 - At Central level: Government, MARD, MoIT, MoNRE and other relating agencies will achieve macro economic benefits by: (i) Completing legislation framework and strengthening institution to enhance management capacity on dam safety and risk mitigation in downstream; (ii) Coordination mechanism between Ministries and branches; and (iii) Monitoring and technical assistance for organizations at provincial level or system level in charge of dam safety management, multi-reservoirs operation management in two provinces.
 - At provincial level: including the PPC, beneficial Department by (i) strengthening regularly and periodically dam safety management; (ii) improving the coordination between the Departments of the province for the operation and management of dam safety; and (iii) improving data collection and information sharing.
 - At sub-project level: Beneficiaries include the dam owners and direct beneficial communities by: (i) improving dam safety; (ii) improving early warning and reducing

risk; (iii) strengthening the capacity for operation and long-term maintenance; iv) ensuring the water supply for the goals and v) reducing risk by dam failure.

- To achieve the above objectives, the project includes 4 components with following contents:

- **Component 1: Dam Safety Rehabilitation (Expected cost of US\$385 million)**

This component will improve dam safety through physical rehabilitation of existing infrastructure, including: 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.

On the basis of proposals from local, approximately 736 irrigation dams in 31 provinces have identified for participating in the project with investment cost of about 18,700 billion dong. Approximately 400 dams with the risk from high to very high level are supported safety improvement solutions of the project. List of locals and number of dams which are repaired with priority are presented in the Appendix. Approximately 90% of the dam has a height of less than 15m or design storage of less than 3 million m³, 10% of large dams, almost embankment dam. List of dams under this component can be changed by the review, the annual risk assessment. The dams have the lowest risk would be replaced by the emergency dams in Component 4. Approximately 12 dams in 11 provinces out of 31 provinces reviewed have unsafe and highly available for the investment in the first year of the project.

Table 1 - List of 12 dams proposed for implementation on the first year

No.	Dam	District	Province	Command area (ha)	Storage (10 ⁶ m ³)	Crest height (m)
1	Ngoi La 2	Yen Son	Tuyen Quang	360	3.24	15.0
2	Ho Ban	Cam Khe	Phu Tho	150	1.68	11.0
3	Dai Thang	Lac Thuy	Hoa Binh	90	0.84	14.5
4	Khe Che	Dong Trieu	Quang Ninh	213	12.00	12.5
5	Dong Be	Nhu Thanh	Thanh Hoa	255	2.29	11.4
6	Khe Gang	Quynh Luu	Nghe An	175	2.15	12.5
7	Khe San	Quynh Luu	Nghe An	120	1.42	14.5
8	Phu Vinh	Dong Hoi	Quang Binh	1056	22.36	24,4
9	Dap Lang	Nghia Hanh	Quang Ngai	100	0.38	13.1
10	Thach Ban	Phu Cat	Binh Dinh	130	0.70	12.8
11	Song Quao	Ham Thuan Bac	Binh Thuan	8120	73.00	40.0
12	Da Teh	Da Huoai	Lam Dong			

- **Component 2: Dam Safety Management (Expected cost of 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; (iii) regulatory and institutional support and strengthening on coordination mechanism; and (iv) capacity enhancement, basin-wide integrated dam reservoir operation plans, emergency preparedness plan. This component will support the Ministry of Agriculture and Rural Development, Ministry of Industry and Trade, Ministry of Natural Resources and Environment in the implementation of technical support for national programs, completion of coordination mechanisms between ministries, local authorities and stakeholders.

– **Component 3: Project Management Support (Expected cost of US\$ 15 million)**

The project was implemented with the participation of three Ministries and 31 provinces. The majority of dams located in the remote mountainous areas with very difficult traffic conditions. Project duration is six years, the allocation of limited management cost is also a difficulty in implementing the project.

The component will provide finance for the project management, monitoring and evaluation, technical assistance, procurement, auditing, information, training, equipment support in project management and implementation.

– **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.

Therefore, this is a development project, which has integrated approach, multi-sectors and bottom-up approach towards to sustainability and serving for objectives of socio-economic development of economic zones, where play vital roles of the whole country.

*** Background of dam safety management in Vietnam**

Vietnam has one of the largest networks of dams and hydraulic infrastructure in the world alongside China and the United States. This network comprises over 7,000 dams of different types and sizes. More than 675 can be classified as large dams (over 15m in height or between 5 and 15m with reservoir storage in excess of 3 MCM) and with the number of small dams (less than 15m and 3 MCM) estimated to be in excess of 6,000 largely earth embankment dams. Of the total four million hectares of agricultural land, more than three million hectares are irrigated via 6,648 dams. In addition, there are more than 1,100 dams are operated, constructed, researched or expected invested. 238 operating dams provide a total installed capacity of 13,066 MW, of which 86 large hydropower with installed capacity of more than 30 MW and dam height of more than 15m. Many of these are multi-purpose dams, flood control and support water supply in large quantities.

According to report of the Ministry of Industry and Trade, Vietnam has about 1,150 irrigation reservoir with damaged, degraded dams which are concentrated in the

North, the Central and Highland areas which have steep terrain and severe weather conditions. The common problems are percolation, deformation of roof dam, incapable of discharging flood, taking water structures damaged in the dam body. Irrigation reservoirs with small dams account for 92% of the total irrigation reservoirs. The reservoirs with capacity of less than 0.2 million m³ have not enough material to assess the safety and necessary to restore technical parameters.

Table 2 - Damage by disaster in three recent year (2011-2013)

Information/Damage	2011	2012	2013
Number of storms, depression	7 storms, 7 depressions	10 storms, 02 depressions	8 storms, 01 depressions
Number of dead people	295	258	264
Number of injured people	274	408	800
Number of destroyed houses	2.170	6.292	11.851
Number of damaged house	447.694	101.756	706.786
Damaged vegetable area (ha)	350.367	408.383	86.491
landslide (m ³)	9.689.559	3.240.069	17.379.000
Physical damage (million dong)	12.703	16.000	25.021

(Source: PDO of WB8 project)

The North, the Central and the Highlands are where focus poverty and severely affected by the disaster. 16/31 involved provinces have poor districts need support from the Support Program for Rapid and Sustainable Poverty reduction by Resolution No. 30a / 2008 / NQ-CP of the Government, dated 27 Dec. 2008. The majority of these district located in mountainous areas and border. The poverty rate of these district is 3,5 times higher than the average of the country. 90% of the population of poor district is ethnic minorities with a per capita income of about 2.5 million / year; income is primarily from agriculture production. With an average annual revenue of 3 billion dong, the district authorities are not enough financial resources to eliminate poverty for the people. Dam safety is priority in local economic development plans as well as irrigation and hydropower plans. Annually, the locality implements reviewing, checking and planning dam safety.

*** Potential Resettlement Impacts of the Project**

In four (04) components of the project, Component 1: Dam Safety Rehabilitation may take land acquisition and resettlement impacts. In the preparation phase, due to the close cooperation of the Department of Agriculture and Rural Development of the project province and through consultation, field surveys in the sub-project in the first year, the basic design construction have been proposed with the analysis aims to minimize the level of adverse effects at the lowest level possible due to land acquisition, site clearance, limitation of irrigation water in construction period due to impossible water source, inundation in the upstream, loss of production capacity in flooding area and unsafety due to flood discharge in the downstream (this effect can be considered as a natural disaster risk in emergency situations).

So far, in addition to location, size of the head works were measured specific items related details such as road construction, pile casting yards and yards of material, disposal. .. has been studied, analyzed for building construction solutions (construction on the river bed, pile enclosure, sludge material used for leveling,...) in order to minimize the impact of resettlement to the project area, however social impacts and resettlement impacts of locals are not high, focused on production land area in corridor of safety protection construction and around dams, some households are contracted for raising fish in the dam, expansion the reservoir operation road and migration in emergency situations, build overflow, bridge in downstream in flood discharge routing.

The categories of impact include: (i) impact on land; (ii) impact on structure and asset on land; (iii) impact on tree and plant and (iv) impact on income of resident. The temporary impacts of project include: (i) materials dump site; (ii) temporary houses for construction; an (iii) temporary impacts during construction period. Details results of the resettlement impacts will be surveyed fully by Detailed Measurement Survey (DMS) based on the results of technical design of construction.

The necessary measures to ensure positive results of resettlement include:

- Consulting the people affected by project on feasible measures for resettlement and restoration;
- Providing the people affected by the project options for resettlement and restoration;
- Allowing AHs to participate in the planning and selection of options;
- Giving the level of compensation, assistance, replacement cost for affected assets;
- Selecting of resettlement sites that can provide at a minimum or equal to the benefits and services where they lived before.
- Providing allowances, training and income assistance to assist relocation;
- Identifying vulnerable groups and providing special assistance for displaced persons;
- Establishing an institutional structure and organization to support this process until the successful completion.

1.1.2 Introduction of the sub-project

The sub-project “Dong Be Dam Rehabilitation and Safety Improvement, Xuan Du commune, Nhu Thanh district, Thanh Hoa province” is one of the sub-projects selected investors to participate in the project. The project area is far away Thanh Hoa city about 40km southwest, including 4 communes: Phuong Nghi, Xuan Du (Nhu Thanh district) and Trieu Thanh, Hop Thanh (Trieu Son district). Natural area is 7103.68 ha; agricultural production area is 1813.02 ha; forest area is 3051.94 ha; aquaculture area is 107.46; residential area is 682.86 ha. The total population is 24,716 people. Geographic coordinates is around : 19°45'30"N; 105°30'00"E.

Location: Xuan Du commune, Nhu Thanh district, Thanh Hoa province.

Dong Be reservoir was constructed from 1989 to 1991. It supplies water for 255 ha of Trieu Thanh commune, Hop Thanh commune (Trieu Son district) and Xuan Du commune (Nhu Thanh district) and support running water for people.

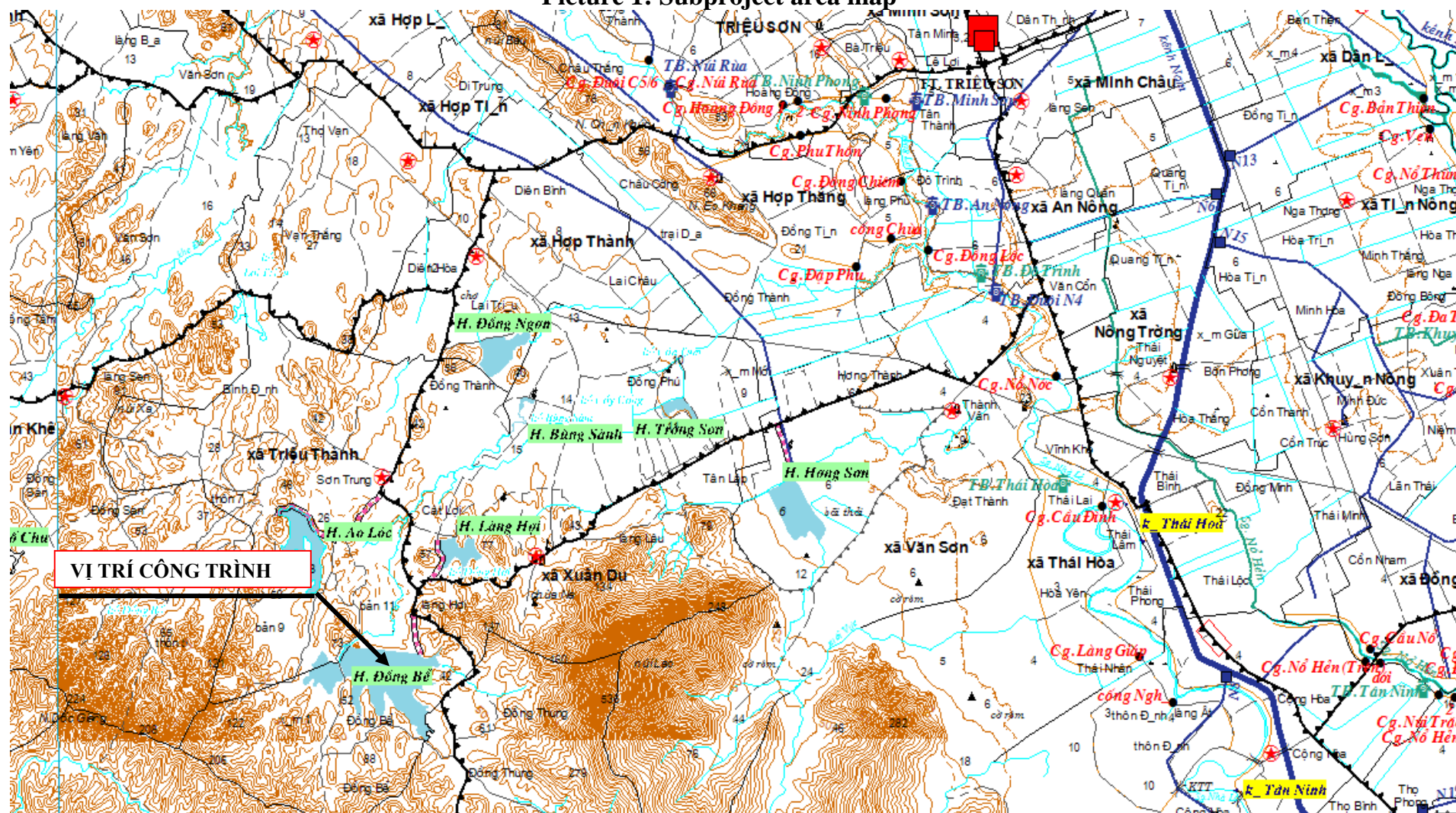
After completion in May, 1991, water level in the reservoir became 70 cm higher than top of spillway, caused erosion of its slope, seepage through the dam body, powerful leaking through the intake. The residential area in Dong Bun hamlet of Xuan Du commune was flooded, then an additional flood protection dike was built at 300m from the left edge of dam and cut through the reservoir dam expansion, repair slope and downstream yard of spillway with normal concrete.

Chu River Irrigation Company invested repair spillway in 1996, 1997. They wrap additional concrete pavement filled with reinforced concrete, stretching back yard filled, sealed manhole repair. In 2003, they fix complement breakwater wall on top of the dam, embankment dam supplement the downstream elevation (38,00 m) meters, surface water drainage from the dam to the downstream toe of the slope and drainage material combined filter bed feet downstream.

With a catchment area of: $F_{lv} = 9,4\text{km}^2$, Dong Be reservoir supplies water for:

- Rice: 200 ha.
- Upland-crops: 55 ha.

Picture 1: Subproject area map



– **The target of subproject**

The subproject “Dong Be Dam Rehabilitation and Safety Improvement, Xuan Du commune, Nhu Thanh district, Thanh Hoa province” support water for 255 ha cultivation land stalely at Trieu Thanh commune, Hop Thanh commune (Trieu Son district) and Xuan Du commune (Nhu Thanh district) and supply water for people.

Ensuring safety reservoirs, protect the life and property of downstream people, increasing productivity and output; ensuring food security, improving the lives of people in the project area, promoting socio-economic development and environmental landscaping project area.

- The detail targets:

- + Irrigate for 255 ha of agricultural production land stability and actively.
- + Increase productivity and agricultural production.
- + Ensuring safety reservoirs, protect the life and property of downstream people
- + Capacity management for sustainable irrigation systems.

– **The rehabilitation items of the subproject**

1. Scope

Based on the current status of Dong Be reservoir, the water demand for agriculture, livelihood of people living in the project area, calculation of hydrology, water balance, irrigation calculation, a plan was prepared to rehabilitate the Dong Be reservoir to ensure the dam safety in the rainy season and ensure water supply for agricultural, industrial and domestic uses.

Irrigation facilities of group C, grade III;

Catchment area: 9.4 km²;

Normal water level: +39.40 m;

Reinforcement water level: +40.71 m;

Dead water level: +34.00 m;

The main dam is made by earth; Length of dam: 714.18 m; Height of dam: 10.95 m; Width of dam crest: 5 m;

Embankment is made by earth; Length of embankment: 400 m; Height: 3.1 m; Crest width: 5 m;

Intake structure will be renewed by reinforce-concrete with diameter of 80 cm;

Spillway will be renewed by reinforce-concrete at the former location.

1.2. The basic design in terms of technology

2.1. Class work: Following QCVN -04-05-2012: The work is level 3. Design criteria

No	Criteria	Value
1	Frequency design	1,5%
2	Frequency check	0,5%
3	Watering frequency	85%
4	Highest flow to design damming	10%

2.2. Plans and construction solutions: Repair and upgrading of key works , management and operation of roads , road rescue flood prevention , management area to ensure work safety and assurance requirements water for agricultural development , industrialization , economic welfare of the local .

a. The main dam

Exalted expanded downstream face of the dam embankment compaction gain coefficient $k \geq 0,97$, $\gamma_k = 1.55(T / m^3)$; Crest elevation + 42,30m , beating surface width $b = 5$ m, reinforced concrete dam face M200 situ 20cm. Top of the dam wall reinforced concrete breakwater M200 $h = 0,7$ m high. Breaking the old stone roof down from a crest elevation of + 36,00m, reinforced roof upstream dams with precast concrete slabs in-situ thickness of 15cm, size 0.8x0.8m; Downstream slope reinforcement in the form of grass and storm drains .Mechanical dam downstream in the + 38,00m high, $b = 4$ m wide, dam upstream slope coefficient $m = 2,75$, downstream = 2,5 m. How permeable drainage device type pile dam drainage and downstream pressure.

Waterproof body and dam foundation seepage at the location in the form of drilling grouting cement.

b. The barrage

How to spot new overflow old spill, overflow section pragmatic reinforced concrete M250, spill reaches the threshold elevation + 39,40m, $B_{\text{threshold}} = 50$ m. Redo side walls, sloping overflow with reinforced concrete M250. Links between the components by KN - 92 PVC coupling; 2 sides to bring up the spill with soil compaction techniques to achieve $k = 0,9$; How to pitch absorption and absorption section backyard pool in reinforced concrete M250. Build bridges downstream overflow to serve the people living and

c. The drain

Breaking the old drain water. Construction of new sewer drain water from the old location 3m, structural steel culvert pipe diameter 8mm D80cm coated outer layer of reinforced concrete 30cm thick M250, opens with still lower, flat- valve layout located in the upper tower, operated valve with electrical systems.

d. Embankment

Apply exalted flood protection dike crest level +42.30 m earthen embankment, top width of 5m , the upstream slope 2.5, 2.5 downstream. Front concrete flood control dike M200 20cm wide by 3.5m to combine welfare and traffic management. Heng drain thoroughly under flood protection dike was broken and the new sewer .

e. Road reservoir combined rescuing, preventing flood

Reinforcement managed to hit the road and the lake to serve management and livelihoods . Structural concrete pavement M200 20cm, width $B = 3.5$ m. Build 3 a new sewer line under the lake with reinforced concrete regulated.

f. Monitoring system

Installation of monitoring equipment infiltration, observation and measurement shifting tide

g. Management area

Construction of a lead management standard 4 fences house and site. Installation of equipment service management.

1.3. The negative impacts of land acquisition

The sub-project will affect the land, trees, crops of the communes in the project area. Because the subproject will only rehabilitate the existing works, its impacts on local people are negligible as follows:

- 13 households (78 persons) will be affected and aquaculture land (public land) of Xuan Du commune will be acquired

- The sub-project will acquire permanently 5,721 m² of public land people using in the dam's protected area, including 3,039 m² agriculture land, 1,872 m² of upland crops land, 310 m² of aquaculture land and 500 m² of hilly land.

- The temporary land acquired for dumpsite is 10,815 m² of aquaculture land that the Communal People's Committee (CPC) owns and contracts with HHs.

- Total land to be acquired is 1.65 ha.

- Land acquisition will not affect structures, houses.

The rehabilitation of sub-project will not affect irrigation water supply during construction period, not affect agricultural production and domestic water supply for people in the area of subproject.

1.4. Measures to mitigate the adverse effects

With the objective of minimizing the impact of land acquisition and resettlement, many actions have been taken in the proposal stage and the design of the sub-project basis. When performing design, fashion reporter in the field unit design consultant calculated then research and choose the right building for land and property on the land affected is the lowest.

During the design phase, to ensure that the affected land, trees and property of the people is the smallest, can perform the following measures:

- + Apply structural measures to avoid affecting land and assets of the household.

- + Choose road construction to suit the construction methods, limitations affecting agricultural production and the movement of people. Ensure the transport route will be refunded intact after subproject completion.

- + Sub-project will use a temporary land area is not large gathering materials, construction machinery, construction camp for workers, construction corridor ... and other impacts during construction.

- + During the construction process to ensure the watering schedule according to the needs of agriculture and water of the people in the project area.

The adjustable design techniques will be reviewed continuously in the process of implementing projects aimed at minimizing the adverse impacts in the subproject area.

5. Objectives of the Abbreviated Resettlement Action Plan

Abbreviated Resettlement Action Plan (A-RAP) is prepared in accordance with the Resettlement Policy Framework of the project that is appropriate with the Involuntary resettlement policy of World Bank and legislation of Vietnam and Thanh Hoa province. It determines the number of people affected by the subproject, the nature and extent of impact, the measures taken to minimize impacts and policies on compensation and other assistances.

- **The A-RAP includes**

- Policies and procedures guide land acquisition, compensation, resettlement and strategies to ensure recovery in living standards as well as employment of the affected people;

- Identify HHs and communes affected adversely by the project, they will be compensated and assisted by measures to mitigate the adverse effects;

- Dissemination of basic information about the project and the possible impact to the community project area, and explain the resettlement policies of the World Bank and the Government of Vietnam to communities.

- Acknowledge the opinions and wishes of the families affected and investor reporting.
- Develop a plan so that the affected person may participate in the phase of the project, including the mechanism for resolving complaints.
- The budget for the implementation of resettlement and the cost recovery income support as well as administrative expenses.

A-RAP will be updated after the completion of detailed design and detailed measurement survey, to determine the exact scope and extent of the impact of sub-projects. Thus the implementation of the resettlement plan will help Investors database to estimate the costs involved and the procedures and legal bases important in the process of implementing the project, while contributing to resolve conflicts, complaints of people affected.

II. SOCIO-ECONOMIC SITUATION OF THE AFFECTED PEOPLE

2.1. Scope of impact of the sub-project

Survey estimated the damage was done, the procedure carried out the investigation damage estimates are representative of the local authorities affected communes with relevant units selected on the basis of the plan determine the scope and severity of the impact of sub-projects to aggregate data on the impact of the sub-project.

Duration of inventory of losses is from 12/02/2015 to 26/02/2015, the investigation team has implemented inventory of losses for land and property in land area to be acquired on the size of the sub-project works.

A survey of the replacement cost will be done for all sub-projects to ensure that the compensation and assistance to affected households are made for replacement cost. Resettlement Task Force will coordinate closely with the Provincial Project Management Board and their advisors to assist them in the process of building replacement cost survey and update prepare a report resettlement appropriate way.

The project area is deployed in the area of 04 communes in 02 districts Nhu Thanh, Trieu Son, Thanh Hoa province. The scope of impact is mainly recovered a small portion of land for agriculture or aquaculture and forestry land, does not affect the housing and structures of households. Number of households affected is as follows:

According to the inventory of losses, there are 13 affected households (78 people), including: 06 households in Trieu Thanh commune, Trieu Son district (43 people), 07 households in Xuan Du commune, Nhu Thanh district (35 people). The affected households are located in the dam's protected area and aquaculture land that the Communal People's Committee (CPC) owns and contracts with 2 HHs.

2.1.1 Land acquisition

Based on the feasibility study, it is estimated that the land to be acquires is 1.65ha.

No.	Commune	Aquaculture land (ha)	Agricultural land (ha)	Wood land (ha)	Crop land (ha)	Temporary land (ha)	Total affected area (ha)
1	Xuan Du	0.031	0.154	0	0.057	1.0815	1.322
2	Trieu Thanh	0	0.150	0.05	0.130	0	0.330
	Total	0.031	0.304	0.05	0.187	1.0815	1.652

2.1.2 Impacts on houses and structures

Land acquisition, as described above, will not affect houses and structures.

2.1.3 Impacts on trees and crops

4 HHs are affected on their agricultural production on the dam's protected area to be acquired, they will be lost of rice, upland crops, and trees with following estimated quantity: 10 banana trees, 500 bamboos, 20 eucalyptus, 1,610 acacias.

Table 1: Impacts on trees and crops

No.	Item	Unit	Quantity
I	Wood	Tree	
1	Eucalyptus	Tree	20
2	Bamboo	Tree	500
3	Acacia	Tree	1,610
II	Fruit Tree	Tree	
1	Banana	Tree	10
III	Crops	m ²	
1	Rice	m ²	3,039

2.1.4 Impacts on production and business income

According to the survey results, there is no impact on production and business income.

2.1.5 Impacts on grave

According to the survey results, there is no impact on grave.

2.2 Social information

2.2.1 Social – economic information of affected area

Overview of the economy - society has been prepared for the sub-project and for the affected households, including data on key indicators related to land acquisition and resettlement impacts. The data on the condition of the sub-project including land use maps and data on population and employment, resources and income, educational level of residents in the project area , the percentage of children properly school age and poverty in sub- regional social projects .

(i) The total land area of 04 social nature of the project area is 7103.68 hectares of agricultural land is 1813.02 ha (26%) , including : The irrigation system is 255 ha ,

(ii) The main occupation of the households in the sub-project area is primarily agricultural. Number of employees working in the field of agricultural production was 64.70 % , 21.75 % industry and services is 13.55 % . Per capita income 16.37 million VND / person / year. The average population density in the region of 465 people / km².

(iii) 79.35 % of the population in sub- project is the Business;

(iv) 20.65 % of the population in sub-project area are ethnic minorities (Thai , Muong) ;

(iv) Infrastructure: the sub-project area is located near the cultural center , the junior high school, primary and kindergarten .

(Source socio-economic report of the Commune in 2014)

2.2.2 Characteristics of the affected households.

2.2.2.1 Education:

Educational attainment and illiteracy of the affected households were surveyed in the subproject area: The total number of affected households were surveyed, the majority of people affected cultural level the junior high school with 28 people accounted for 36%, followed by high school with 31 people accounted for 40%. Number of graduate and postgraduate proportion was 1%. Those who are not in school age is 7 to 9%. No illiterate.

Table 2: Educational level

No.	Commune	Educational level															
		Primary		Secondary		Under high school		High school		Vocation		University		Other (childhood)		Total	
		N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%
1	Xuan Du	3	9	16	46	0	0	11	31	0	0	1	3	4	11	35	100
2	Trieu Thanh	4	9	12	28	4	9	20	47	0	0	0	0	3	7	43	100
Total		7	9	28	36	4	5	31	40	0	0	1	1	7	9	78	100

2.2.2.2 The main occupation and income of the affected

Among households affected by the project were surveyed, the main source of household income from agriculture is affected, mainly engaged in farming (rice and color) raising poultry, cattle, planting of fruit trees, trees for timber.

Table 3: Employment structure

No.	Commune	Employment of household's members								Total	%
		Agriculture		Trade		Officer		Worker			
		N	%	N	%	N	%	N	%		
1	Xuan Du	26	74%	0	0%	0	0%	0	0%	35	100%
2	Trieu Thanh	23	53%	0	0%	0	0%	0	0%	43	100%
Total		49	63%	0	0%	0	0%	0	0%	78	100%

Survey results indicated information about monthly income of households. No affected household has incomes of less than 3 million / month; 15% has income from 3 to less than 4 million / month. Number of households with income from (4 ÷ 5) million / month with 02 households accounted for 15%. Number of households with income from (5 ÷ 6) million / month with 02 households accounted for 15%. Number of households with income over 6 million accounts for 54% of households.

Table 4: Average income per household per month

No.	Commune	Average income per household per month												Total	%
		< 2 million		2 - 3 million		3 - 4 million		4 - 5 million		5 - 6 million		> 6 million			
		N	%	N	%	N	%	N	%	N	%	N	%		
1	Xuan Du	0	0	0	0	1	14	0	0	0	0	6	86	7	100
2	Trieu Thanh	0	0	0	0	1	17	2	33	2	33	1	17	6	100

No.	Commune	Average income per household per month												Total	%
		< 2 million		2 - 3 million		3 - 4 million		4 - 5 million		5 - 6 million		> 6 million			
		N	%	N	%	N	%	N	%	N	%	N	%		
	Total	0	0	0	0	2	15	2	15	2	15	7	54	13	100

2.2.2.3 Gender and age

- Of the 13 affected households (78 people) had 11 male householders (accounting for 85%), with 02 households headed by women (accounting for 15%) of households not additive single women and no small children , there is no protection of vulnerable groups . Household size of the affected households with the average 6 persons / household . The entire household is affected Kinh ethnic.

- The number of people in working age (18 to 60) of households with relatively large proportion of 64 % of the total number of household members ;6 % are outside of working age over 60 years; 26 % of people are in secondary school age (6-18 years old) and a small proportion of the remaining 4 % of children (0-6 years old) .

Table 5: Gender and persons per household

No.	Commune	Householder					Total of persons				Total of persons
		Male	%	Female	%	Total	Male	%	Female	%	
1	Xuan Du	5	71%	2	29%	7	19	54%	16	46%	35
2	Trieu Thanh	6	100%	0	0%	6	22	51%	21	49%	43
	Total	13	85%	2	15%	13	41	53%	37	47%	78

Table 6: Groups of age

No.	Commune	Groups of age										Total	
		< 6		6 ÷ 18		18 ÷ 60		60		Total			
		N	%	N	%	N	%	N	%	N	%		
1	Xuan Du	3	9%	10	29%	19	54%	3	9%	35	100%		
2	Trieu Thanh	0	0%	10	23%	31	72%	2	5%	43	100%		
	Total	3	4%	20	26%	50	64%	5	6%	78	100%		

2.2.2.4 The vulnerable households

According to a survey, there are no vulnerable and relocated households.

2.2.2.4 Health and education

- Health : At the district level in the area affected by the project are 01 hospital centers in each district and commune with 01 CHCs . Commune health stations only serve the function of examination and treatment of minor illnesses and childbirth for women in the hamlet. District hospitals can care and treatment of serious illness and the protection of public health. However, health care workers and the poor are not guaranteed due to the lack of medical equipment needed.

- Education: In all of the affected communes with a total of 02 primary schools, 02 secondary schools and 02 junior kindergartens.

- 100% of households have electricity service activities.

Table 7: Health care and education

No.	Commune	Clinic center		School		
		No. of staff	No. of bed	Kinder garten	Primary	Secondary
1	Xuan Du	6	14	01	01	01
2	Trieu Thanh	5	11	01	01	01
	Total	11	25	02	02	02

Table 8: Accessories

No	Commune	Water source						Cooking measure						Lighting		Total	%		
		Dug wells		Tap water		Borehole		Electricity		Gas		Wood, straw		Biogas				Electricity	
		N	%	N	%	N	%	N	%	N	%	N	%	N	%			N	%
1	Xuan Du	7	100	0	0	0	0	7	100	5	71	7	100	0	0	7	100	7	100
2	Trieu Thanh	6	100	0	0	0	0	6	100	0	0	6	100	0	0	6	100	6	100
	Total	13	100	0	0	0	0	13	100	5	38	13	100	0	0	13	100	13	100

*Expectation of compensation for land acquisition

All the surveyed households was asked about compensation method, they preferred payment in cash because the land did not belong to them and payment in cash is the most convenient for them.

III. PROJECT COMPENSATION POLICY AND ENTITLEMENTS

3.1 Resettlement policy framework

The Resettlement Policy Framework was prepared in compliance with the applicable and relevant law of the Government of Vietnam related to land acquisition, compensation, support, and resettlement, and in compliance with the World Bank's Operational Policy on Involuntary Resettlement.

3.2 The Legal framework of the Government of Vietnam

The legal framework of the Government of Vietnam: The laws and decrees related to land acquisition, compensation and resettlement is applied in Vietnam and the provisions of the city / province include Constitution of the Republic of Socialist Vietnam (2013) confirmed the right of citizens to own and protect the ownership of housing. In addition, the Government has enacted a number of laws, decrees, and regulations constitute the legal framework for land acquisition, compensation and resettlement. The main text includes:

- Constitution of Vietnam 2013;
- The Land Law 45/2013/QH13 which has been effective since July 1, 2014;
- Ordinance 34/2007/PLUBTVQH11 of the National Assembly, dated on 20/4/2007, about the exercise of democracy at commune/ward/town level, regulating issues need to be public to people, in which there is publicity of

“projects, investments and priorities, implementation progress, compensation plan, support for site clearance, resettlement related to projects/work in commune”;

- Decree No.43/2014/ND-CP dated on May 15, 2014 guiding in detail some articles of Land Law 2013;
- Decree No.44/2014/ND-CP dated on May 15, 2014 provides on method to determine land price; make adjusted land price brackets, land price board; valueate specific land price and land price consultancy activities;
- Decree No. 47/2014/ND-CP dated on May 15, 2014 providing compensation, assistance, resettlement when land is recovered by the State;
- Decree No. 38/2013/ND-CP dated on April 23, 2013, on management and use of official development assistance (ODA) and concessional loans of donors;
- Decree No. 112/2008 / ND-CP on the management, protection and exploitation of integrated resources and environment of reservoirs;
- Decree No. 72/2007 / ND-CP dated on May 07, 2007 of the Government on management of dam safety;
- Decree No. 201/2013 / ND-CP dated on November, 27, 2013 of the Government detailing the implementation of some articles of the Law on Water Resources;
- Decision No. 1956/2009/QD-TTg, dated on November 17, 2009, by the Prime Minister approving the Master Plan on vocational training for rural labors by 2020
- Decision No. 52/2012/QD-TTg, dated on November 16, 2012, on the assistance policies on employment and vocational training to farmers whose agricultural land has been recovered by the State;
- Decision 64/2014 / QD-TTg of the Prime Minister dated November 18, 2014 on specific policies on migration and resettlement of irrigation, hydropower projects;
- Circular No. 33/2008 / TT-BNN dated on February 04, 2008 of the Ministry of Agriculture and Rural Development Guidelines perform a number of articles of Decree No. 72/2007 / ND-CP;
- Circular No. 45/2009 / TT-BNN dated on July 24, 2009 of the Ministry of Agriculture and Rural Development Guidelines for establishment and approval of plans for the protection of irrigation works;
- Circular No. 65/2009 / TT-BNN dated on October 12, 2009 of the Ministry of Agriculture and Rural Development Guidelines for organization, operation and decentralization of exploitation of irrigation works;
- Circular No. 40/2011 / TT-BNN dated on May 27, 2011 of the Ministry of Agriculture and Rural Development Regulating capacity of organizations and individuals involved in the management and exploitation of irrigation works;
- Circular No. 34/2010 / TT-BCT dated on October 07, 2010 of the Ministry of Industry and Trade Regulating on the safety management of hydropower dams;

- Circular No. 36/2014 / TT-BTNMT dated on 30 June 2014, regulating method of valuation of land; construction, land price adjustment; specific land valuation and land valuation advisory
- Circular No. 37/2014/TT-BTNMT dated on 30 June 2014, regulating compensation, assistance and resettlement when the State acquires land.
- Others

Other laws, decrees and regulations relevant to land management, land acquisition and resettlement include the Construction Law 50/2014/QH13, dated on 18 Jun 2014, on construction activities, rights and obligations of organization and individual investing in civil works construction and construction activities; Decree 102/2014 / ND-CP on sanctioning of administrative violations in the field of land replaced by Decree No. 15/2013 / ND-CP dated on February, 06, 2013 on quality management of constructions; Decree No. 12/2009/NĐ-CP of the Government, dated 12 February 2009 on the management of construction investment projects and replacing the Decree 16/2005/ND-CP, the Decree 126/2014/ND-CP of the Government on the management and use of Official Development Assistance (ODA) fund, and Decree 70/2001/ND-CP of the Government on marriage and family Law implementation, stipulating that all documents registering family assets and land use rights must be in the names of both husband and wife; Decisions of project provinces relating to compensation, assistance and resettlement in provincial territory will be also applied for each relevant project province.

Laws, decrees and decisions relevant to public disclosure of information at the Article 39 Land Law No. 45/2013/QH13, requiring disclosure of information to affected people prior to acquisition of agricultural and non-agricultural lands within minimum 90 and 180 days respectively.

Decrees relevant to protection and preservation of cultural property include Decree No. 98/2010/ND-CP Detailed regulations for implementation of some articles of the Law on Cultural Heritage and the Law on editing and supplementing some articles of the Law on Cultural Heritage requiring that sites currently recognized as cultural and historical vestiges, should be kept intact according to current legal regulations.

Documents relating to complaints and resolve complaints mechanisms: complaints Law 02/2011/QH13 dated on November 11, 2011, Decree No. 75/2012 / ND-CP of the Government dated on March 10, 2012: Specific provisions a number of articles of the Law on Complaints.

Besides the general policy of the Government of Vietnam, the People's Committee of Thanh Hoa province has also introduced legislation to apply the Decree of the Government circulars and guidelines of the agencies and departments of land acquisition and clearance. The following decision issued regulations on compensation and assistance when the State recovers land area of the town and district of Thanh Hoa province as follows:

- Decision No. 599/02.12.2013 2013QD-UBND: Promulgating the Regulation on the order and procedures for approval, investment location, land acquisition, conversion of land use, transportation lease land for investment projects in the province of Thanh Hoa.

- Decision No 3162/2014/QD-UBND 26/09/2014: Promulgating regulations compensation, support and resettlement when the State recovers land in the province of Thanh Hoa.

- Decision No 4545/2014/QD-UBND 12/18/2014: On the ground rules Prices period 2015 to 2019 the province of Thanh Hoa.
- Decision No. 3638/QD-UBND 04/11/2011: On the compensation rate for damage to asset and structures in land acquisition in the Thanh Hoa province.

3.3 The World Bank’s Operation Policy on Involuntary Resettlement (OP 4.12)

The World Bank recognizes that involuntary resettlement may cause severe long-term hardship, impoverishment, and environmental damage unless appropriate measures are carefully planned and carried out. The Bank’s Resettlement Policy OP 4.12, includes safeguards to address and mitigate the economic, social, and environmental risks arising from involuntary resettlement.

The WB’s involuntary resettlement policy objectives are the following:

- Involuntary resettlement should be avoided where feasible, or minimized after exploring all viable alternatives in project design;
- Where resettlement cannot be avoided, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the people affected by the Project to share in benefits. Affected Persons should be meaningful consulted and should have opportunities to participate in planning and implementing resettlement programs.
- Affected Persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-project levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

3.4 Comparison between Government of Vietnam and World Bank approaches

There are differences between the Government of Vietnam’s Laws, policies, regulations related to land acquisition/resettlement, and the World Bank’s OP 4.12 on Involuntary Resettlement. The following table highlights the key differences in order to establish a basis for the design of the principles to be applied for compensation, assistance and livelihood restoration support for the affected households, which will be applied under this project.

Table 9: Comparison of Vietnam’s and World Bank’s Policies related to Involuntary Resettlement

<i>Subjects</i>	Bank’s OP 4.12	Government of Vietnam	Project Measures
<i>Land Property</i>			
<i>Policy objectives</i>	PAPs (Project Affected Persons) should be assisted in their efforts to improve their livelihoods and	Not mentioned. However, there is a provision of support to be considered by PPC to ensure they have a place to live, to stabilize their living	Livelihoods and income sources will be restored in real terms, at least, to the pre-displacement levels or to levels prevailing prior to the beginning of project

<i>Subjects</i>	Bank's OP 4.12	Government of Vietnam	Project Measures
	standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher	and production. (Article 25 of Decree 47). In case the amount of compensation/support is not enough for resettled people to buy a minimum resettlement plot/apartment, they will be financially supported to be able to buy a minimum resettlement plot/apartment (Article 86.4 of Land Law 2013 and Article 27 of Decree 47)	implementation, whichever is higher.
<i>Support for affected households who have no recognizable legal right or claim to the land they are occupying</i>	Financial assistance to all project affected persons to achieve the policy objective (to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher)	Only agricultural land used before July 1, 2004 is eligible for compensation. Other cases may be considered for assistance by PPC if needed.	Financial assistance of an agreed amount will be given to all PAPs, regardless of their legal status, until their livelihoods and standards of living restore in real terms, at least, to pre-displacement levels.
<i>Compensation for illegal structures</i>	Compensation at full cost for all structures regardless of legal status of the PAP's land and structure.	No compensation	Compensation at full replacement cost will be given for all structures affected, regardless of legal status of the land and structure.
<i>Compensation</i>			
<i>Methods for determining</i>	Compensation for lost land and other assets	Compensation for lost assets is calculated at price	Independent appraiser identifies replacement costs

<i>Subjects</i>	Bank's OP 4.12	Government of Vietnam	Project Measures
<i>compensation rates</i>	should be paid at full replacement costs,	close to transferring the assets in local markets or the cost of newly-built structures. Provincial People's Committees are granted to identify compensation prices for different categories of assets. Independent land valuator can be used to determine land prices, which will be appraised by land appraisal board before Provincial People's Committee approval.	for all types of assets affected, which are appraised by land appraisal board and approved by. Provincial People's Committees to ensure full replacement costs.
<i>Compensation for loss of income sources or means of livelihood</i>	Loss of income sources should be compensated (whether or not the affected persons must move to another location)	Assistance in respect of income loss is given only for registered businesses. Assistance measures to restore income sources are provided.	All income losses are to be compensated and, where necessary to achieve the objectives of the policy, development assistance in addition to compensation will be provided.
<i>Compensation for indirect impact caused by land or structures taking</i>	It is good practice for the borrower to undertake a social assessment and implement measures to minimize and mitigate adverse economic and social impacts, particularly upon poor and vulnerable groups.	Not addressed.	Social assessment has been undertaken and measures identified and being implemented to minimize and mitigate adverse impacts, particularly upon poor and vulnerable groups.
<i>Livelihood restoration and assistance</i>	Provision of livelihood restoration and assistance to achieve the policy objectives.	Livelihood restoration and assistance measures are provided. No follow-up for full livelihood restoration after resettlement completion.	Provision of livelihood restoration and assistance measures to achieve the policy objectives. These will be monitored as detailed in the RAP

<i>Subjects</i>	Bank's OP 4.12	Government of Vietnam	Project Measures
<i>Consultation and disclosure</i>	Participation in planning and implementation, specially confirming the eligibility criteria for compensation and assistance, and access to Grievances Redress Mechanisms	Focus mostly on consultation during planning (consultation on draft plan of compensation, support and resettlement and plan for training, career change and facilitating job searching); information sharing and disclosure.	Consultation and participation incorporated into RAP design, along with information sharing with PAPs and stakeholders.
<i>Grievance redress mechanism</i>			
	Grievance redress mechanism should be independent	The same governmental body makes decisions on compensation and resettlement, and also handles grievances at the first step. However, complainants can go to court at any steps as PAP wishes.	More effective Grievance and Redress mechanisms are to be established, built on the existing governmental system, with monitoring by an independent monitor
<i>Monitoring & Evaluation</i>			
	Internal and independent monitoring are required	Citizens are allowed to supervise and report on breaches in land use and management on their own (or through representative organizations), including land recovery, compensation, support and resettlement (Article 199, Land Law 2013). There is no explicit requirements on monitoring of the resettlement works, including both internal and independent (external)	Both internal and external (independent) monitoring is to be regularly maintained (on a monthly basis for internal and bi-annual basis for independent monitoring). An end-of-project report will be done to confirm whether the objectives of OP 4.12 were achieved.

<i>Subjects</i>	Bank’s OP 4.12	Government of Vietnam	Project Measures
		monitoring	

IV. PROJECT’S POLICY ON INVOLUNTARY RESETTLEMENT

4.1 The Involuntary Resettlement Policy OP 4.12 of World Bank

WB applied regulations in OP/BP 4.12 for involuntary resettlement policies and requested counterparts to comply with. Objectives of involuntary resettlement policies of the donors are to avoid compulsory resettlement to the least rate, or minimize negative impacts for social-economic issues caused by compulsory resettlement.

The overall objectives of this policy are the following: (a) Involuntary resettlement should be avoided where feasible, or minimized, by exploring all viable alternative project designs to achieve this end. (b) Where it is not feasible to avoid resettlement, resettlement impacts should be mitigated and mitigation activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons affected by the project to share in project benefits. Affected persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs. (c) Affected persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

4.2 Project Affected Persons (APs)

People directly affected by a project through the loss of land, residences, other structures, business, assets, or access to resources, specifically are:

- Persons whose agricultural land will be affected (permanently or temporarily) by the Project;
- Persons whose residential land/houses will be affected (permanently or temporarily) by the Project;
- Persons whose leased-houses will be affected (permanently or temporarily) by the Project;
- Persons whose businesses, farming activities, occupations. or places of work will be affected (permanently or temporarily) by the Project;
- Persons whose crops (annual and perennial)/ trees will be affected in part or in total by the Project;
- Persons whose other assets or access to those assets, will be affected in part or in total by the Project; and
- Persons whose livelihoods will be impacted (permanently or temporarily) due to restriction of access to protected areas by the Project.
- Persons whose will be impacted due to stopping irrigation water supply when construction.

4.3 Principles and Objectives of the Project’s Involuntary Resettlement Policy

Main Principles for Compensation, Assistance and Resettlement:

- The land acquisition and asset impacts as well as resettlement of APs must be minimized at least. In case that the minimization of land acquisition is infeasible, the compensation and assistance for restoration will be provided people adequately.

- The compensation rates will be determined based on replacement cost approved by PPC and consultant of stakeholders. All fees and taxes on land and/or house transfers will be waived or otherwise included in a compensation package for land and structures/houses or businesses. The local authorities will ensure that displaced households choose resettlement place themselves, without additional cost, will be provided with the necessary house and land use right certificate or relevant certificates with similar compensation packages provided to those who choose to move to resettlement sites of the project. This includes compensation for agricultural land, residential land, structures and other assets.
- Land will be compensated “land for land” or in cash according to the AP’s choice whenever possible. The choice of land for land must be offered to those losing 20% or more of their productive land area. If land is not available, the borrower must assure, to the World Bank’s satisfaction, that this is indeed the case. Those losing 20% or more of their production land area may need additional assistance to restore their livelihood. The same principles apply for the poor and vulnerable people losing 10% or more of their productive landholdings. The lack of adequate land to be used for resettlement purposes must be documented to the satisfaction of the Bank.
- APs that prefer the “land for land” option will be provided with land plots with the equivalent productive capacity for lost lands or a combination of land (a standard land plot) in a new residential area nearby for residential land, and cash adjustment for the replacement cost difference between their lost land and the land plots provided. The resettlement area will be planned properly and implemented in consultation with the APs. All basic infrastructures, such as water supply and sewerage, electricity and telephone lines, will be provided.
- APs that prefer “cash for land” will be compensated in cash at the full replacement cost. These APs will be assisted in rehabilitating their livelihoods and making their own arrangements for relocation.
- Compensation for all residential, commercial, or other structures will be offered at the replacement cost, without any depreciation of the structure and without deduction for salvageable materials. Structures shall be evaluated individually. Any rates set by category of structure must use the highest value structure in that group (not the lowest).
- As for the displaced households affected with shelter (displaced from existing residential land because the remaining land area in accordance with construction law is not guaranteed for building house or entire land acquisition), the local resettlement board needs to conduct consultations and makes agreed solutions to assist for new shelter for affected households.
- The displaced households affected with shelter that capable of building house on the remaining land and is suitable with regulations of the local (not subject to displacement) will be applied general policies of the project in accordance with the agreed entitlement matrix.

- The APs will be provided full assistance (including a transportation allowance) for transportation of personal belongings and assets, in addition to the compensation at replacement cost of their houses, lands, and other properties.
- In cases of relocation, information of project has to be disseminated 180 days in advance and compensation and rehabilitation assistance must be implemented before land acquisition time to ensure stability of AHs' lives. Exceptions should be made in the case of vulnerable groups who may need more time prior to livelihood or house impacts.
- If, by the end of the project, livelihoods have been shown not to be restored to pre-project levels, additional measures will be considered to achieve the objectives of the policy. The project resettlement cannot be considered complete until the objectives of the A-RAP are met.
- Other assistance, such as economic rehabilitation assistance, training and other forms of assistance, should be provided to APs losing income sources in order to enhance their future prospects toward livelihood restoration and improvement. Vulnerable groups may need additional assistance in this regard.
- The previous level of community services and resources, encountered prior to displacement, will be maintained or improved for resettlement areas.

4.4 Entitlements

All APs who are identified in the project-impacted areas on the cut-off date of the Project will be entitled to compensation for their affected assets, and rehabilitation measures sufficient to enhance, or at least restore their livelihoods in real terms relative to pre-project levels; and to improve the standards of living of the affected poor and other vulnerable groups. In this subproject, cut-off-date is the date when the PPC issues the Notification of Land acquisition for the relevant project (Article 67.1 of Land Law 2013) before implementation of detailed measurement survey. A census survey will be done before the cut-off date is announced to establish a list of potential affected households. Those who encroach into the investment area or building their new assets (rehabilitation, construction of houses/structures, new tree planting) after the cut-off date will not be entitled to compensation or any other assistance.

Based on the feasibility study report, the social survey, social impact assessment initially, the impact of resettlement: the group of people affected, download the affected land and other impacts through IOL. Based on the objectives of the policy and policy harmonization land acquisition, resettlement is proposed for the project, the interests of the affected people are required by law. The specific benefits for each group of affected people mentioned in the entitlement matrix below.

Land acquisition for the safety corridor of construction, AHs have houses and constructions on the land in safety corridor of construction, to be considered, assessed on impacts level and compensated and assisted in accordance with the policy of the project.

Arise impacts during construction period, affected households identified during construction period. Review of impact level and compensation, assistance in accordance with safeguard policy of project. Construction firms, PMU, resettlement board and local government consider the extent of damage and determine the cause arises. If it is incurred by the construction activities, the construction firm will compensate for the affected households; if it is incurred from insufficient land acquisition or due to changes in technical design (mandatory), the resettlement board will consider and add updated resettlement actions.

Water supply from Dong Be reservoir will not be stopped at the time of construction because the sub-project will apply appropriate construction methods to avoid the influence on irrigation and agricultural production of farmers.

Table 10: Matrix of entitlements

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
<p>1. Productive land¹ (Agricultural, garden, pond land, etc.) either in or out of the residential area.</p>	<p>Land Users who do not have formal or customary rights to the affected land</p>	<p>PAPs will receive assistance corresponding to 80% of land replacement cost. Agricultural land used before July 1, 2004 will be compensated at 100% as per Article 77.2 of the land law. In addition to above, rehabilitation/training assistance will be provided. In case the PAP uses public land where there was previous agreement to return the land to the Government when so requested, they will not be compensated for the acquired public land but will be compensated for structures, crops, trees and other assets on the land at 100% of the replacement cost.</p>	<p>- Affected households to be notified at least ninety days before land acquisition by the Project. - The owner of land will hand over the land within 20 days from the date District Compensation Board fully pays compensation for land.</p>
<p>Crops and Trees, aquaculture products</p>	<p>Owners regardless of tenure status</p>	<p>For annual and perennial standing crops or trees, aquaculture products regardless of the legal status of the land, compensation in cash will be paid to the</p>	<p>PAPs will be given notice several months in advance regarding evacuation. Crops grown after issuance of the deadline will not be compensated.</p>

¹The sub-categories of productive land such as agricultural, forestry, garden, aquaculture and pond will be compensated at different rates. These will be specified and detailed in the Resettlement Action Plans to ensure the compensation is reflective of current rates and takes into account geographic variation. Land on which businesses are located will be compensated as detailed in the section on relocation of business.

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		affected persons, who cultivate the land, at full replacement cost in local markets to ensure the compensation is sufficient to replace the lost standing crops, trees or aquaculture products.	
Temporary impacts	Temporary loss of land and assets	<p>Compensation for all damaged or lost assets, including trees, crops at full replacement cost</p> <p>Rental in cash for the land acquired at a rate which will be no less than the net income that would have been derived from the affected property during disruption;</p> <p>Restoration of the land within 3 months after use: The contractor is expected to return the land in its original condition within 3 months of the termination of the civil works.</p>	If the quality of land is radically changed when returned to PAPs, requiring PAPs to change in the types of land use; then PAPs should be compensated for all envisaged cost of losses.

4.5. Gender issues

The Project realizes that there are certain social groups that have fewer possibilities to restore their living conditions, livelihoods, and income levels and the Project has integrated these issues in project preparation and implementation activities through application of APs-participated planning and decision making. Women in hamlets contribute to economic development of the family and community livelihood. They will be empowered to become active members in community activities as well as in supporting project implementation and monitoring.

During the implementation process, the Project will pay special attention to the women and female-headed HHs as the project beneficiaries. Women will participate equally in the whole process of project implementation to enhance the project sustainability. Active participation of women and the ethnic minority group will ensure that design of restoration

measures suits their specific needs or concerns, e.g. groups of people without land, the poor and female householder, disables, the elders and children who have no assistance sources. In case of having a full resettlement action plan that is suitable and agreed by all relevant parties, a strategy of gender and specific actions for the ethnic minority groups, will be incorporated.

V. IMPLEMENTATION ARRANGEMENT

The implementation of resettlement activities require the participation of agencies, local organizations and national, provincial, district and commune. Provincial People's Committee of each participating project will be responsible for the overall implementation of the Resettlement Policy Framework and Plan of Action common resettlement of specific sub-project of his province. The Compensation Committee, support and resettlement will be established at the provincial / district in accordance with the provisions of Decree 47/2014 / CP. The terms and policies of the Policy Framework and Plan of Action of the resettlement will be the legal basis for the implementation of active compensation and resettlement of project “*Dam rehabilitation and safety improvement*” (DRaSIP/WB8) in Vietnam.

5.1. The central level

The MARD on behalf of the Government's project management agency, responsible for the general administration of the project. People's Committees of provinces in the project is the owner of the subproject under the project, responsible for the investment decisions of sub-projects by the Ministry and provincial management. A Project Steering Committee will be established, composed of representatives of the ministries of agriculture and rural development ministries concerned, the People's Committees of provinces, responsible for regularly monitoring and project management during project implementation.

CPO under the MARD will be responsible for overall project and local support in the work of land acquisition and resettlement, including:

- Coordinate with the provincial People's Committees shall direct the implementation of compensation and resettlement, to ensure compliance with the provisions of the RPF and ensure compliance with the construction progress.
- Training and capacity building for the project implementing agencies (the PMU provincial and district councils compensation) on the process of implementation of the resettlement policy framework and action plan for resettlement.
- Coordinate with the Project Management Unit Provincial internal monitoring the implementation of compensation and resettlement of the entire project.
- Selection and coordination unit independent monitoring of resettlement for the whole project.
- Report any problems to the resettlement of MARD and the donors.

5.2. Provincial level: Thanh Hoa Provincial People's Committees

Thanh Hoa Provincial People's Committees are responsible for the conduct of the entire compensation, site clearance and resettlement within the province. PPC shall:

- Notice or authorize the district People's Committee for land acquisition notification immediately after selecting the location of the sub-projects.
- The land acquisition decisions of the organization.
- Through the Action Plan for the resettlement of the subprojects.
- Approve the plan of overall land acquisition.
- Directing the district People's Committee carried out the compensation, resettlement and land clearance.
- Timely and adequate supply of funds to pay compensation.
- In exceptional cases should the provincial authority to approve the compensation plan, the competent bodies established provincial appraisal Provincial Council for assessment of compensation by the Resettlement Committee Typically, support and resettlement of the district to advise the provincial authority approval in accordance with the provisions of the Government on compensation, support and resettlement and resettlement policy voluntary (OP / BP4.12) of the WB to be applied to the project.

Compensation Provincial Council: Given the scope and extent of influence of the project is not big so no need to establish compensation Provincial Council.

5.3. Thanh Hoa Provincial Project Management Unit

Thanh Hoa Provincial Project Management Unit is responsible for the local implementation of construction component of the project. The Management Board shall manage the implementation of compensation, support and resettlement of sub-projects, including:

- Preparation of A-RAP and update it.
- Submitting action plan for resettlement of the subprojects to be prepared during project implementation for the provincial authority for approval before making payment of compensation.
- Work closely with the departments, agencies and People's Committees of districts in implementing projects of compensation, support and resettlement to ensure the implementation of compensation and resettlement fit with construction plans.
- Internal monitoring of the implementation of compensation, support and resettlement of sub-projects, quarterly reports on the progress of the implementation of compensation, support and resettlement of sub-projects for CPO.

5.4. District level: Nhu Thanh and Trieu Son

District People's Committee has the following responsibilities:

- District People's Committees of the Board direct compensation, support and resettlement District Land Development Center of the People's Committees of districts and communes affected the implementation of compensation and assistance and resettlement.
- To approve the compensation, support and resettlement compensation committee the district level.
- Decision-making land acquisition by individuals and households.
- Addressing complaints and grievances of the affected jurisdiction.

Unit implementation of compensation, support and resettlement district has the responsibility to implement the compensation and clearance for projects in the district, including:

- Conduct investigations replacement costs in the district.
- Coordinate with the Commune People's Committee to disseminate information and consult the affected communities.
- Inventory of households affected, the compensation plan People's Committees of districts / provinces for approval.
- Coordinate with the PMU and the provincial People's Committees of communes affected implementation of compensation and land clearance.
- Addressing the concerns of people affected and advise the district People's Committee to settle complaints of people affected.

5.5. Commune level

Commune People's Committee shall:

- Provides scatter plot map (Cadastral map) for the Compensation Committee and elected officials involved in the counting of assets held-affected households.
- Collaborate with the district Resettlement Committees shall disseminate information and community consultation.
- Addressing the concerns of affected persons related to inventory their assets.
- Facilitate and assist the affected households in restoring livelihoods, income and stable life.

Community level: Communities affected their elected representatives to participate in The inventory of assets affected to monitor the implementation process and sign the minutes of the asset inventory of affected households.

VI. PREPARATION OF A-RAP

6.1. Screening

Right from project identification stage, the Provincial Project Management Unit will conduct screening or conducting an initial assessment of land acquisition will be carried out to determine the extent of adverse impacts that may be caused by the sub-projects as well as land requisition demand or changes in land use types. Based on the results from this evaluation, will provide the decisions on requirements, types, and detailed field survey as well as the necessary document including statistics, data and other economic surveys.

The A-RAP of sub-project must be completed before the signing of the Project Agreement and the implementation phase; the updated version of A-RAP with detailed design must be submitted to donors review and approval before payment. The income restoration program and support activities will begin only after the donor's agreement and the provincial authorities for approval.

6.2. Procedure

The preparation of A-RAP involves community participation, and a multi-dimensional analysis, including a social assessment. In the planning stage of the project, the following steps may be followed:

Step 1. Based on the preliminary project design for the subproject, make preliminary assessment on the magnitude of social impact to determine the scope of social assessment of the project (magnitude of land acquisition, or resettlement).

Step 2. On the basis of the known social impact, make recommendations to project design, if needed, to avoid, minimize, or mitigate the subproject impact.

Step 3. If Step 2 is not necessary, conduct a census survey to understand clearly the magnitude of impact at households level. This may involve collection of socioeconomic data on the affected households against the magnitude of land acquisition impact. The following types of data should be collected as part of the socioeconomic survey:

(i) Data about APs, total number of APs:

- Demographic, education, income, and occupational profiles;
- Inventory of all property and assets affected;
- Socioeconomic production systems and use of natural resources;
- Inventory of common property resources if any;
- Economic activities of all affected people, including vulnerable groups;
- Social networks and social organization;
- Cultural systems and sites;
- Public utilities such as clinics, post offices, water supply, power supply, markets, etc.

(ii) Data on land and the area:

- Map of the area and hamlets affected by land acquisition;
- Total land area acquired for the Project;
- Land type and land use;
- Ownership, tenure, and land use patterns;
- Land acquisition procedures and compensation;
- Existing civic facilities and infrastructures.

Step 4. In parallel with the AP census survey, consultation with APs will continue to identify their preferences and the special needs that should be addressed in the RAP. In addition, study on replacement costs for land, crops, and other assets needs to be conducted so that the cost estimates for the RAP can be provided.

Step 5. Prepare a RAP. The Entitlement Matrix in the Project Resettlement Framework (Table 10) should be used for the project.

Step 6. Once the draft RAP is acceptable to the Bank, disclose the RAP at public meetings for the project to consult with potentially affected households, and the subproject stakeholders.

6.3. Approval procedure

A-RAP prepared for the project must be in accordance with the RPF. Once the A-RAP document is finalized, it should be sent to the World Bank for review and no-objection. After that, PPC will be responsible for approval of the A-RAP and all resettlement-related issues, to enable A-RAP implementation. The WB shall not approve any civil works contracts for any project's sections to be financed from the loan unless the compensation payment and provision of rehabilitation measures in the respective sections have been satisfactorily completed, in accordance with the project's RPF.

VII. CONSULTATION AND COMMUNICATION WITH PARTICIPATION

Dissemination of information for those affected by the project and the participating agencies is an important part of the preparation and implementation of the project. Consultation with affected people and ensure their active participation will reduce the possibility of conflicts arising and reduce the risk of project delay. This also allows project design resettlement program and restored as an integrated development program in accordance with the needs and priorities of the people affected, and thus, maximizing economic interests economic and social investment funds. The goal of the program information and community consultation include:

- (i) Ensure that the competent authorities at local, as well as representatives of the people affected, will be involved in the planning and decision making. The Management Board of the local project will work closely with the DPC/social participation project during project implementation. The participation of those affected in the implementation will be continued by asking each district / commune invited representatives of the affected persons as members of the Board / Board Compensation, Resettlement of district and participate in resettlement activities (asset valuation, compensation, resettlement, and monitoring).
- (ii) Share all information about items and planned activities of the sub-project affected people.
- (iii) Collect information on the needs and priorities of those affected, as well as receive information about their reactions to the policy and planned activities.
- (iv) Ensure that those affected can be fully informed decisions directly affect income and their standard of living, and they have the opportunity to participate in activities and decision making issues directly affecting them.
- (v) Achieving coordination and participation of the affected people and communities in activities necessary for planning and implementing resettlement.
- (vi) Ensure transparency in all activities relating to land acquisition, compensation, resettlement and Restore.

7.1 Public consultation during the preparation phase for the Project

During the project preparation phase, the dissemination of information and public consultation aimed at gathering information to assess the impact of resettlement of the project and make recommendations about the options. This is to reduce or eliminate the potential negative impact of the project on local residents and unprepared to deal with the problems that may arise during the implementation process. Methods of disseminating

information and community consultation may include assessment methods Rural participation and consultation of stakeholders, using techniques like to visit families and affected areas, community meetings, group meetings and focus group discussions, and economic - social surveys.

Even in the early stages the project preparation, local government and the leaders of the various levels of government in each sub-project will be notified of the project, the objectives and activities of the project. They are consulted and participate actively in the discussion of the development needs and priorities of their local. Households consultation assessment of the negative impact of the project may have and the measures to mitigate them, and measures to increase the benefits of the project to them. Local authorities were consulted about their consensus as well as their commitment to implement the Resettlement Policy is described in the Policy Framework of the project, as reflected in the policy objectives of the Bank World Bank and the Government of Vietnam.

Once the project is approved, the Subproject information, including A-RAP will be disseminated by television programs and local newspapers widely in the sub-project areas in the public places, including information on objectives, components and operation of the Project.

7.2 Community consultation in the implementation phase of the project

Information dissemination and community consultation: During project implementation, the Project Management Board / Board Compensation provincial / district with the support of the project consultant, will undertake the following tasks:

- (i) To provide information to the relevant authorities at all levels through training workshops. Provides detailed information on policies and procedures for project implementation.
- (ii) To disseminate information and advice to all those affected during the project.
- (iii) After the DMS results, update the compensation rate in the Action Plan update Resettlement, Compensation Committee, support and resettlement district will reaffirm scale recovery land, property impacts will conduct consultations and complete plan of calculating compensation for affected households.
- (iv) `Compensation plan outlining the affected property and the right to compensation of households will be affected people to sign to indicate their agreement with the results of the evaluation. Any concerns of affected content of the plan must be noted at this time.
- (v) Should be submitted for resettlement schemes to all those who are moving (a) to inform them about the resettlement plan (clear explanations of each option selected), (b) suggest people affected confirmed their choice of resettlement plans and confirmed their preliminary location resettlement areas, and (c) suggest people affected specify the services that they currently use as educational / medical / market access and distance service, to ensure the development of infrastructure services in the future.
- (vi) Consultation affected people in their desire to support the recovery plan for life. This section applies to those affected and vulnerable groups. Compensation Committee, support and resettlement will notify the affected persons of the plan and

the right to receive technical support before the proposal stating their desire to support such recovery.

- Public consultation: Before starting the updated action plan for resettlement in accordance with the detailed design, project management Provincial Committee / Board Compensation, Resettlement support and provincial / district will held public meetings in each affected communes to provide additional information for people affected and provide opportunities for them to participate in public discussions on policy and procedures for resettlement. Send an invitation to all those affected before the meeting at the same place. The purpose of this meeting is to clarify the information has to date of the meeting and provide opportunities for affected people to discuss concerns and clarify information. Along with written notice to the affected people, to use measures other information to information for people affected and the general public, such as posters in the visible region at headquarters Commune People's Committee / District, where people affected are living, alerts stations, local newspapers. Both men and women of the affected households as well as members of the community who are interested are encouraged to participate. During the meeting will explain the project, and the rights and entitlements of households, and the meeting will be an opportunity to raise questions relating. Similar meetings will be held periodically throughout the project cycle. The organization of opinion must be recorded in writing, certified by the commune People's Committee, Representative Committee of the Vietnam Fatherland Front and communal representatives who have acquired land.

- Leaflets Projects. A Leaflet provides information about the project will be developed and provided to people affected by the project during the project preparation phase and implementation phase of the project to ensure that people grasp and aware of the benefits that the project brings. Leaflet of project provides compensation policies, supporting details presented in the Resettlement Policy Framework aims to develop measures to mitigate the social impact, the sub-project land acquisition and clearance.

7.3 Information disclosure

As per Bank's requirement, the RAP will be disclosed in Vietnamese at local level, particularly at the office of PMU, DPCs, CPCs and the World Bank's Vietnam Development Information Center (VDIC) in Hanoi before and after it is approved by the Government of Vietnam. The English version of this RAP will be also disclosed at the World Bank Info Shop in Washington D.C. prior to project appraisal.

7.4 Grievance and redress mechanism

* Requirements of the OP 4.12

The World Bank's resettlement policy mentioned in the OP 4.12 requires each sub-project to establish for grievance redress mechanism and determines that the prime responsibility for handling grievances raised by the APs is the project developers. This mechanism aims to ensure APs' satisfaction with implementation of the RAP, and provide the APs with a legal platform for monitoring and reporting on the RAP implementation. Specifically, the purposes of the grievance mechanism are to allow APs to seek satisfactory resolution to grievances they may have in relation to possible land acquisition or other project interventions. The key principles of the grievance mechanism are to ensure that:

- a) The basic rights and interests of APs are protected
- b) The concerns of APs arising from the project implementation process are adequately addressed
- c) Entitlements or livelihood assistance for APs are provided on time and accordance with the above safeguard policies of the Government and the WB.
- d) APs are aware of their rights to access and shall have access to grievance procedures free of charge for the above purposes; and
- e) The grievance procedures will be an important part of the conflict resolution mechanism that is community-based, involving ethnic minorities and representatives of other vulnerable groups, and therefore, collectively managed.

At the beginning of the project implementation, Grievance Redress Committees will be established from communal to provincial levels based on the existing structures consisting of concerned departments, mass organizations, women and ethnic representatives. At the communal level the community-based organization will incorporate the existing grievance mechanisms that will be chaired by leader of Communal People's Committee (CPC). The grievance mechanism and procedures will resolve complaints, and with the availability of local resources resolve conflicts not only on safeguard issues but also others during project implementation. Based on this structure, the community-based organization would assist during the project preparation, design, implementation, and future developments. The grievance mechanism will be applied to persons or groups that are directly or indirectly affected by a 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.

APs, if not satisfied or unclear about the RAP implementation and compensation may raise their complaints to the CPC. The claim may be made orally or in writing with assistance from the CPC who shall provide response to the claimant within 5 days after receipt of the grievance. If the claimant is not satisfied with the decision made at the commune level, she/he may submit the claim to the district PC with support from the PPMU. Within 15 days after receipt of the claim, the district committees shall make decision and provide response to the claimant. The claim may be lodged with Provincial Court of Law whose judgment would be final.

All complaints and grievances will be properly documented and filed by the commune and district PCs as well addressed by PPMUs through consultations in a transparent and proactive manner. These grievance documents and report will be made public accessible. All costs associated with grievance handling process incurred by the claimant and/or her/his representatives are to be covered by the project developer. The grievance handling process is described below:

*** Grievance redress mechanism**

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

The steps of Grievance Redress Mechanism are as follows:

First Stage - Commune/Ward People's Committee

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

Second Stage - At District People's Committee (DPC)

If after 30 days the aggrieved affected household does not hear from the CPC, or if the APs is not satisfied with the decision taken on his/her complaint, the APs may bring the case, either in writing or verbally, to any member of the DPC or the 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. Affected households can also bring their case to Court if they wish.

Third Stage - At Province 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. Affected households can also bring their case to Court if they want.

Final Stage - Court of Law Decides

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 level.

In order to minimize complaints to the provincial level, PMU will cooperate with the District Resettlement Committee to participate in and consult on settling complaints;

Personnel: The Environmental and Resettlement staff assigned by PMU will formulate and maintain a database of the APs' grievances related to the Project including information such as nature of the grievances, sources and dates of receipt of grievances, names and addresses of the aggrieved PAPs, actions to be taken and current status.

In case of verbal claims, the reception board will record these inquiries in the grievance form at the first meeting with affected people.

The grievance resolution process for the Project, including the names and contact details of Grievance Focal Points and the Grievance Facilitation Unit (GFU), will be disseminated through information brochures and posted in the offices of the People's Committees at the communes and districts and PMU.

At the same time, an escrow account for resettlement payments should be used when grievance is resolving to avoid excessive delay of the project while ensuring compensation payment after the grievance has been resolved.

To ensure that the grievance mechanism described above are practical and acceptable by APs, it were consulted with local authorities and communities taking into account of specific cultural attributes as well as traditional-cultural mechanisms for raising and resolving complaints and conflicting issues. The ethnic minority objects and efforts were also identified and determined which are culturally acceptable ways to find the solution.

VIII. MONITORING AND MANAGEMENT

8.1. Monitoring

Monitoring is a continuous process of evaluating the implementation of the project, related to the implementation schedule has been agreed, on the use of inputs, infrastructure and service projects. Monitoring provides all stakeholders to reflect constantly on the implementation. It identified the actual and potential for success and difficulties arise as soon as possible, to facilitate timely correction may phase project activities.

Monitoring has two purposes:

- (i) Verification of project activities that have completed efficiently or not, including the quantity, quality and time.
- (ii) Evaluation of these activities have achieved the goal and purpose of proposed project or not, and it achieved the like.

The implementing agencies (provincial project management) as well as independent monitoring organization by CPO contract monitoring, regular monitoring of the implementation of the Resettlement Plan.

8.2. Internal Monitoring

Internal Monitoring the implementation of the Resettlement Plan of the subproject is the responsibility of the implementing agencies, with the assistance of consulting projects. The implementation will monitor the progress of the preparation and implementation of resettlement through regular progress reports.

Internal monitoring agency will conduct the monitoring (without limitation) the following monitoring indicators:

- (i) Payment of compensation to the affected people about the different types of damage compensation policy described in the Resettlement Plan

- (ii) Implementation of technical assistance, scroll position, payment of benefits and relocation assistance.
- (iii) To Restore income support entitlements and rehabilitation.
- (iv) To disseminate public information and consultation procedures.
- (v) Sticking to the grievance procedure, the remaining issues requiring the attention of management.
- (vi) Priority affected people about the choices made.
- (vii) Coordinate and complete the resettlement activities and awarded the construction contract.

The implementing agency will collect monthly information from the various compensation committee. A database of information on monitoring the implementation of the resettlement of the project will be maintained and updated monthly.

The implementing agencies submit an internal monitoring report on the implementation of the Resettlement Plan to the World Bank as part of their quarterly reports submitted to the Bank. The internal monitoring report must contain the following information:

- (i) The number of affected households affected by type and according to the Project components and state compensation, relocation and restoration of income for each category.
- (ii) The funds allocated for activities or to pay compensation and funds disbursed for each activity.
- (iii) The end result of these complaints and resolve any outstanding issues requiring management agencies at all levels settlement.
- (iv) The problems arise in the implementation process.
- (v) Progress of resettlement actually updated.

IX. BUDGET AND ESTIMATED COST

9.1. The budgets

All costs for land acquisition, compensation and resettlement for the affected land and property on the ground of sub-projects using funding from the reciprocal of Thanh Hoa and support from Central and loans (if any).

9.2. Estimated cost of compensation and assistance

The total cost of the relocation of sub-projects, including (i) funding for temporarily occupied land, (ii) compensation for trees and crops.

- The budget for compensation and assistance to land when conducting land acquisition for the project is 272.562.500 VND. (Compensation and support here is based on the decision of the Government of Vietnam and the decision, specifying that for Thanh Hoa province as follows: Decision No 4545/2014 / QD-People's Committee on 18 / 12/2014; No. 3162/2014 / QD-dated 09/26/2014 of the People's Committee of Thanh Hoa province, along with the policies of the WB).

- The funding for compensation for trees and crops: 26.110.000 VND

- Management Cost (provisional): 120.000.000 VND; Resettlement Council cost (provisional): 150.000.000 VND;

Total cost estimate is 654.672.500 million VND, including the following types of costs: (1) Cost of compensation and support; (2) Compensation for trees and crops, and (3) Management costs, Resettlement Council cost are summarized in detail in table 5.

Table 11: The total estimated cost of compensation

No.	Category	Unit	Unit price	Quantity	Amount
I	Cost of compensation and support				298.672.500
1	<i>Support for acquisition of temporary land</i>				272.562.500
a	Aquaculture land	m ²	24.500	310	7.595.000
b	Managed by the CPC (Pond)	m ²	24.500	10.815	264.967.500
2	<i>Crops and trees</i>				26.110.000
	Fruit trees	tree	55.000	10	550.000
	Timber	tree	12.000	2.130	25.560.000
A	Total direct costs				298.672.500
II	Other costs				270.000.000
1	Management cost		TT		120.000.000
2	Resettlement Council cost		TT		150.000.000
B	Total cost = A+II				568.672.500
C	The Provision expense = B*15%				86.000.000
D	The total cost of resettlement = B+C				654.672.500
	In USD (1USD=21.600VND)				30.309 USD

(Details of the estimates in Appendix 2)

The cost is calculated at the present time and may vary according to the resettlement plan update. The cost of replacement cost and support of provincial policy may change, so the compensation cost will be updated as the resettlement plan is updated.

X. IMPLEMENTATION

10.1. Implementation steps

Order and procedures of compensation and resettlement is based on the Decree No. 47/2014/ND-CP dated 15/5/2014, Decree No. 69/2009/ND-CP dated 13/8/2009 of the Government, Circular No. 14/2009/TT-BTNMT dated 01/10/2009 of Ministry of Natural Resources and Environment.

Decision No. 3638/QĐ - UBND dated 04/11/2011: Promulgating the unit price of compensation for damage to property and structures in land clearance of Thanh Hoa.

Decision No. 3162/2014/QĐ-UBND dated 26/9/2014: Promulgating the Regulations on compensation, support, resettlement for land acquisition in Thanh Hoa province.

Decision No. 4545/2014/QĐ-UBND dated 18/12/2014: Promulgating unit price of land in 2015 – 2019 in Thanh Hoa province.

Decision No. 599/2013QĐ - UBND: Promulgating the Regulations on the order and approved procedures for location of investment, land acquisition, conversion of land use purpose, land transfer, land for lease to implement the investment project in Thanh Hoa.

With the above-mentioned legal basis and organizational structure, coordination of stakeholders as described above, the basic operation of the compensation and resettlement are carried out as following:

Step 1: Location introduction and land acquisition notice

The identification and land acquisition notice is based on the written evaluation letters of land use needs of the Department of Natural Resources and Environment submitted to Thanh Hoa PPC for approving and issuing land acquisition notices (including reasons land acquisition, area and location of land recovery on the basis of the existing cadastral or detailed approved construction planning; to assign the district's people committees for land acquisition notification to the public, to guide compensation, assistance and resettlement in the district level to perform inventory tasks, establish compensation plans). District's people Committees is responsible for directing the widespread policy of land confiscation, the regulations on land acquisition, compensation, resettlement assistance when recover of used land for national defense purposes, security, national interests, public interests and economic development.

Commune's People's Committee responsible to post up a public notice about land acquisition policies in the commune's People's Committee headquarters and in the points of living and residential areas where land is recovered, widely reported on radio system level (in places having radio system).

Step 2: Prepare cadastral files for land acquisition area

Based on documents on land acquisition of the Provincial People's Committee, Department of Natural Resources and Environment shall direct the registration office for land use rights in same level to make the preparation of cadastral files.

Revision of the cadastral map to suit the current situation and make extracts of the cadastral map for places which have formal cadastral maps or conduct cadastral measurements for places with no formal cadastral maps;

Complete and make extract from cadastral (land register) to send to the DRC;

Make a list of parcels of land to be recovered with the following contents: number of maps, land parcel numbers, names, land use area of the parcel of land has the same purpose, the purpose of landuse.

Step 3: Planning, evaluating and approving the general plan on compensation, assistance and resettlement

The Investor guides the consultant unit to create overall compensation and resettlement assistance plans (hereinafter called the general plan) based on survey data, field surveys, existing document issued by the Natural Resources and Environment, which had been assessed and approved along with approved investment projects. Comprehensive plan shall contain the following:

- a. The basis for the plan creation;
- b. General data on the types of land area and grade land for agriculture, the number of maps, parcel number, estimated value of existing assets on the land;

- c. General data on the number of households, number of household members, number of employees in the area of land recovery, clearly stating the number of employees in switched careers, resettlement of households;
- d. Expected level of compensation, support and expected location, land area or areas of resettlement housing and resettlement, the resettlement mode;
- e. Plan measures to help jobs creation and training plan of job conversion;
- f. List of works and scope of the work of the State, organizations, religious institutions, residential communities expected to move to relocation sites;
- g. The number of graves to be removed and proposed sites for relocation;
- h. Cost estimate to implement the plan;
- i. Funding sources to implement the plan;
- j. Progress of implementation plans

Step 4: Making the clearance landmarks.

After projects are approved by competent authorities, the project owner base on the basic design to conduct the clearance boundary markers, handed over to the organization in charge of compensation management and implementation the next steps of site clearance work. In stage of formulation, approval of technical design (or design of construction drawings) if any adjustment on the scope of site clearance, project investors coordinate with organizations in charge of compensation promptly, accurately and immediately notify the local authority the content adjusted.

Step 5: Prepare the Compensation, Assistance And Resettlement Plan.

1. Field inspection and enumeration.

Based on the land acquisition policy and the site clearance landmarks of the project, the Organization in charge of compensation prepares the detailed enumeration report for each land acquisition case (called the compensation quantity enumerating report, for short). The report has to present specific contents, including names, places of permanent address registration, places of temporary address registration, current addresses of acquired land owners, the number of household members, the number of laborers and social policy beneficiaries (if any); the area and the location of the acquired land lot; the quantity of crop plants and domestic animals; the shape, the dimension, the quantity, the structure and basic features of assets currently on that land; emerging and underground works associated to the acquired land.

2. Identification of the origin of each acquired land lot.

The organization in charge of compensation co-operates with the Land Use Rights Registration Office and Ward People's Committees to identify the origin of each acquired land lot and the legal owner of the land lot based on documents related to the land use, cadastral documents, cadastral maps, inventory documents, cadastral books, statistics registration books, monitoring books of land use right certificates granting and tax registers of the acquired land.

3. Preparation of the compensation and assistance plan.

Pursuant to the compensation quantity enumerating report, the origin of each acquired land lot, unit prices and compensation policies as stipulated, the Organization in charge of compensation implements the preparation of the compensation and assistance plan with following contents:

- Name and address of the owner of the acquired land;
- Area, type, location and origin of the acquired land;
- Calculation bases for the money amount of compensation and assistance such as the compensated land price, the house price, the compensated works, the number of household members, the number of laborers in the working age, and the number of social benefits beneficiaries;
- Amount of compensation and assistance money;
- Resettlement arrangement;
- Relocation of governmental works, religious organizations and communities;
- Grave's displacement.

4. Collection of comments on the compensation, assistance and resettlement plan:

- The compensation, assistance and resettlement plan is openly posted at ward PC headquarters and at residential activities places where land is acquired so that the land users and relevant people can give comments;
- The posting must be made in written form confirmed by representatives of ward PCs, Ward Committees of Fatherland Front and acquired land owners;
- The period of posting and receiving comments lasts at least twenty (20) days as from the date of posting.

5. Finalization of the compensation, assistance and resettlement plan:

- At the end of the plan posting and comments receiving period, the Organization in charge of compensation and site clearance will be responsible for written synthesis of comments, including a clear statement of agreement, disagreement and other opinions towards the compensation, assistance and resettlement plan. This Organization is also responsible for finalizing the plan and sending the finalized plan and the collection of contributed comments to the Natural Resources and Environment agency for appraisal.
- In case there are a lot of disagreement opinions towards the compensation, assistance and resettlement plan, the Organization in charge of compensation and site clearance will need to clarify or review and adjust the plan before it is sent to the Natural Resources and Environment agency for appraisal.

Step 6: Evaluation and approval of the compensation and supporting plan

- Division of Natural Resources and Environment shall assume the prime responsibility and coordinate with related departments at district level for evaluation of compensation, assistance plan, in accordance with regulation; submission to DPC for approval of the compensation, supporting plan by regulations.

Step 7: Decision on land acquisition and redress grievances against decision on land acquisition

- Based on report of land acquisition, compensation, support and resettlement plan prepared and approved by competent agencies, the extracts or the cadastral measurements of land plots. District People's Committee make decisions of land acquisition for affected households, individuals and communities.

- During the implementation of land acquisition, if there is any question or complaint from citizens, the CPC will gather comments and complaints and send to the competent authorities' to consider.

While a decision of grievance redress is pending, decisions on land recovery must be continued. Where State agencies have jurisdiction over complaints concluded the land acquisition is contrary to law, must stop land acquisition, state agencies have issued decision to withdraw the land must make new decision on cancelling the decision issued on land acquisition and must compensate damages from recovery decisions (if any). Where State agencies have jurisdiction over complaints concludes the land acquisition is lawful, the person whose land is recovered to abide by the decision of land recovery.

Step 8: Compensation, assistance and resettlement plan approval and disclosure.

- District People's Committees approve the compensation, assistance and resettlement plan according to regulations.

- Within a period not exceeding three (03) days from the date of receipt of the approved compensation, assistance and resettlement plan, DRCS coordinate with CPC disseminate publicly approval of the compensation, assistance and resettlement plan in CPC headquarters and at communal activities places in residential areas where land is recovered; send the decision on compensation, assistance and resettlement to people whose land is recovered, which clearly states the level of compensation, assistance, on land allocation and resettlement (if any), time and place of payment of compensation, assistance time and hand over the land recovered to DRCS.

Step 9: Payment of compensation and resettlement assistance

Compensation, assistance and resettlement Council will make payments after the approving decision of compensation, assistance and resettlement plan.

Step 10: Hand over and enforcement of land acquisition

- Within twenty (20) days from the date of organization in charge of compensation and site clearance complete payment for compensation and support for land acquisition under the approved plan, the person whose land is recovered, is responsible to hand over land to the organization in charge of compensation and site clearance.

- In cases where the people, whose land is recovered, is not implement the decision of land acquisition, the competent level people's committee will issue coercive decision for land acquisition. The forcible land acquisition shall comply with the provisions of Article 32 of Decree No. 69/2009, ND-CP dated 13/8/2009 by the Government.

10.2. A-RAP updating procedure

Currently, no DMS data is made. After conducting the DMS, the detailed inventory data will be updated on the A-RAP. Based on A-RAP, the local will set up a compensation plan to update the compensation price, property and allowances. This plan must be sent to the investors and the World Bank and must be approved prior to payment of compensation.

Publish the draft A-RAP and final A-RAP according to the World Bank policy OP 17.50 on disclosure the project documents to affected communities and in the Information Center (Info shop) of the World Bank. The draft A-RAP will be disclosed to the affected people before the World Bank for approval. The final A-RAP will be published after approval.

10.3. Implementation plan

The implementation schedule for resettlement activities for the sub-project is presented in the following table including (i) Community consultation activities, (ii) activities that have been completed for A-RAP preparation.

The detail resettlement implementation plan of each sub-project will be shown in the A-RAP reports. This plan will be made based on the construction schedule.

Procedures of compensation and resettlement implementation must comply with regulations and procedures stipulated in Decree 47/2014/ND-CP of the Government and regulations in the RPF. Specific steps and procedures are as follows:

- a) Basing on detailed technical design of works, the design consultants and PPMUs hand over benchmarks of site clearance to DRCs to determine affected HHs and carry out DMS of affected assets.
- b) Holding meetings with affected HHs to disseminate information and compensation policies, including the project objectives and benefits, positive and negative impacts of the project, mitigation measures, methods used to evaluate prices of affected assets, amounts for compensation, allowances and restoration, and grievance redress mechanism.
- c) Demographic investigation and damage inventory: Conducting surveys of affected HHs and inventory of their affected assets to collect information on APs, identifying quantities of affected assets, entitlements to compensation, resettlement and restoration allowances for APs. Consulting APs about mitigation measures for the project impacts and assistance measures for livelihood restoration.
- d) Carrying out replacement cost survey;
- e) Preparing compensation plans, announcing compensation plans in public to obtain APs' comments, finalizing compensation plans and submitting to DPCs for approval.
- f) Paying compensation and restoration allowances
- g) Implementing resettlement (if any) and handing over sites for construction
- h) Internal monitoring activities will be implemented during the whole process of compensation and resettlement implementation to ensure that the implementation of compensation and resettlement complies with the RPF.

Co-operation between resettlement implementation and civil works. To sub-projects where land acquisition is applied, implementation of compensation and resettlement needs to be in line with construction schedules of each sub-project component. Therefore, an implementation time frame for compensation and resettlement integrated with construction schedules should be established and monitored closely to ensure that all APs are provided with compensation satisfactorily before any construction activities commences. Compensation payment and resettlement for APs must be completed as one condition for land acquisition and prior to construction commencement.

To implement resettlement activities in line with construction schedules and ensure that no APs have to relocate before compensation payment and commencement of construction activities, the CPO and the PPMUs need to develop a project implementation plan, including specific milestones:

- a) Dates of civil works commencement and completion,
- b) Tables of time indicating hand-over of completed resettlement sites to APs (handing over dates must be at least one month before construction commencement),
- c) Dates of handing over land to the project by the APs (so that the APs can prepare plans on dismantling their houses and handing over land at the required time to receive bonus for timely relocation).

The payment of compensation, assistance and resettlement to the affected HHs (in cash or land for land) must be completed before awarding contract of construction.

Table 6: Implementation plan

Activity	Responsible party	Schedule
Draft of A-RAP	Resettlement consultant	Quarter 2/2015
Upload safeguard documents of project and RAP of sub-project to website of MARD, CPO, PPC and Vietnam Development Information Center (VDIC)	CPO	Quarter 2/2015
Approval of safeguard policy documents of project	The WB and the GOV	Quarter 3/2015
Approval of RAP of sub-project	PPC	Quarter 3/2015
Training on safeguard policy frameworks for the project officers and the DRCs .	CPO and resettlement consultants	Quarter 4/2015
A-RAP updating, detail measurement survey and compensation plans	PPMU	Quarter 1/2016
Compensation payment and land clearance	PPMU, DRCs, and CPCs	Quarter 2/2016
Monitoring resettlement internally every month and preparing quarterly reports	PPMU	Quarter 2/2016

APPENDIX

APPENDIX 1: Report on replacement cost survey

1. Objective of replacement cost survey

The objective of this survey about the replaced price is to identify the compensation price for all kinds of land, assets, trees and crops of affected households by subproject. The replacement price is similar popular price in the market to ensure that no affected households will have worse situation than before subproject. On the contrary, at least all affected households will maintain or improve living standard compared to before subproject.

2. Methodology

2.1. Approach

Rapid assessment methods will be introduced to study the replacement costs. Information collected from both desk research and direct interviews with people in affected area, both those persons who are affected and those not affected, is analyzed to establish replacement costs.

The purpose of this work is reasonably replacing assets affected, but the most important factor is the cost at market value. Interviews with those directly affected and not affected in the subproject area to provide the most reliable numbers.

As the work is aimed at obtaining reasonable replacement costs for different types of affected assets, market evidences are the factors which most strongly base the formulation of these costs. Direct interviews with people in the affected area, both those, whose assets are affected by the Project and those, whose assets are not, will produce reliable data for establishment.

The survey team consisting professionals experienced in resettlement, economics and planners of consultants and local offices to carry out the study.

2.2. Methodology

a. Replacement costs for lands

The most effective way to obtain the most reliable replacement costs for land – actually, market value for lands- is to gather data of some sales of land, which have just taken place.

However, the transfer of land use right does not always go along with such sales, which makes details of such sales not recorded. So, the sale evidences to support the verification of provincial prices will be collected. In addition, basic information needed will be gathered from direct interviews with owners of land in the project area. The interviews will cover the following issues:

- The recent land use rights transfer in the area;
- The price, at which owners (affected and not affected persons) are willing to sell land.

Apart from determining the rates for various types of land, the transaction costs involved such as administrative charges, taxes, registration and titling costs, etc. will be determined. The replacement cost for each type of assets will be specified with the transaction costs.

b. Replacement costs for Structures

The objective of this establishment is to determine whether the provincial prices enable AHs to rebuild their affected structures. The establishment of compensation price for affected structures is based on the principle of replacement cost. The information to base the establishment will mainly be collected from direct interviews with owners of structures, construction contractors specialized in residential building. The interviews will be conducted based on a pre-developed interview guide, which will cover the following issues:

b.1 Interviews with owners of structures:

a) Construction materials:

- Main materials they used for their current structures
- Type of shops where they bought construction materials
- Distance of transport
- Origin of the materials (local or overseas)
- Costs of various materials.

b.2 Interviews with construction contractors:

- Main materials which are most used by the local people to build their structures;
- Costs for those main materials;
- Cost of labor;
- Average construction cost (cost per sq.m floor) for different types of houses according to different categories;
- Validation of provincial construction prices (cost per sq.m floor for each category).

The structures will include (but not limited to) the following:

- Houses
- Kitchens (in case they are separated from houses)
- Toilets, bathrooms (in case they are separated from houses)
- Any other structure associated to the house

For house-related structure such as electric posts, water supply system, water pipes, similarly in the case of structure, cost to construct those facilities will be determined to see whether the compensation is enough to reconstruct them. Information to base the evaluation will be conducted with officials in charge of constructing such facilities to determine material cost and labor cost.

c. Market Prices for Trees

a) Secondary sources:

- Publications of National Statistical Office
- Publications of Price Committee

b) Primary sources:

- Interviews with people who own the same trees in the locality. The interviews will cover price, at which owners are willing to sell each type of trees. The prices for perennial trees will be differentiated by the age of the trees.
- The team will investigate the selling prices of outputs of different type of trees in the market.

Replacement Cost = Current Market Value + Transaction Cost

Apart from determining the rates for land and non-land assets indicated above. The study team will determine the transaction costs involved such as administrative charges, taxes, registration and building permit costs.

The replacement costs for lands and assets will be presented by districts, with detailed information by communes of the districts.

3. Sample selection for the survey

Affected households are prioritized for the selection of sample for the survey. Through this, their demands about compensation unit price are reflected. However, to have objective results, unaffected households who have similar characteristics about geographic location, kinds of assets... are also selected for the survey. For the households not having transferred land, their expected price which they want to transfer for the other or they could buy is investigated. During the survey, the households who have just transferred land, trees and crops and just constructed works are prioritized because they are clear evidence for existing price.

The scope of selected samples depends on the number of affected households in communes and affection level of their assets.

4. Information processing

Information collected through survey are noted and kept carefully by each area; then they are synthesized and analyzed. From that, the price level approximate with the market price of each asset in each area is identified.

5. Results of the survey

The sub-project is in rural mountainous area where the market economy especially land market has not developed, however, there are few evidences about land transfer. Over 80% population live based on agricultural production. Construction material price is recently stable. Thus, the investigation is mainly based on the expected price level. The investigation results show that the price of residential land is similar to the published price frame issued by the PPC. For agricultural land, almost no exchange and trading activities, which will take the price by the Thanh Hoa Province People's Committee? Prices of crops and structure are the same and higher than with unit prices, respectively.

Hereafter is the tables of surveyed results of replacement cost in the subproject area

Table 7: Surveyed Results of Replacement Cost

No.	Surveyed Items	Unit	Unit Price (VND)	Surveyed cost (VND)	Applied Cost (VND)
I	Crops and plants				
	Eucalytus type A	Tree	5.000	5.000	5.000
	Eucalytus type B	Tree	15.000	10.000	15.000
	Bamboo type A	Tree	7.000	7.000	7.000
	Bamboo type B	Tree	10.000	7.000	10.000
	Banana type A	Tree	6.000	6.000	6.000
	Banana type B	Tree	55.000	30.000	55.000
	Acacia type A	Tree	4.000	4.000	4.000
	Acacia type B	Tree	12.000	9.000	12.000

APPENDIX 2: DETAIL OF ESTIMATED COST OF COMPENSATION

No.	Category	Unit	Unit price	Quantity	Amount
I	Cost of compensation and support				298.672.500
1	<i>Support for acquisition of temporary land</i>				272.562.500
a	Aquaculture land	m ²	24.500	310	7.595.000
b	Managed by the CPC (Pond)	m ²	24.500	10.815	264.967.500
2	<i>Crops and trees</i>				<i>26.110.000</i>
	Fruit trees	tree	55.000	10	550.000
	Timber	tree	12.000	2.130	25.560.000
A	Total direct costs				298.672.500
II	Other costs				270.000.000
1	Management cost		TT		120.000.000
2	Resettlement Council cost		TT		150.000.000
B	Total cost = A+II				568.672.500
C	The Provision expense = B*15%				86.000.000
D	The total cost of resettlement = B+C				654.672.500
	In USD (1USD=21.600VND)				30.309 USD

(Details of the estimates in Appendix 2)

SUMMARY OF HOUSEHOLDS AFFECTED BY LAND ACQUISITION OF THE SUB-PROJECT

No.	Affected household (AH)	Ethnic	Total land area (m2)	Affected assets (m2)							Crops	
				Pond	Rice land	Upland crops	Forestry	% of lost	Land source	Fruit	Wood	
XUAN DU COMMUNE			61,167	11,125	1,539	572	-			10	310	
1	Nguyen Van Tien	Kinh	6,990	310		420		0%	Protective area of construction	10	210	
2	Nguyen Van Thai	Kinh	22,799		300			0%	Protective area of construction			
3	Ha Thi At	Kinh	6,969		489	152		0%	Protective area of construction		100	
4	Bui Van Ta	Kinh	5,152		250			0%	Protective area of construction			
5	Bui Cong Lam	Kinh	4,130		130			0%	Protective area of construction			
6	LeThi Bay	Kinh	2,362		270			0%	Protective area of construction			
7	Bui Cong Thuong	Kinh	12,765		100			0%	Protective area of construction			
8	Public land			10,815				0%	Contracted land			
TRIEU THANH COMMUNE			30,121	-	1,500	1,300	500			-	1,820	
1	Le Sy Quyen	Kinh	12,293			800		0%	Protective area of construction		1,620	
2	Le Sy Hanh	Kinh	2,924		600		500	0%	Protective area of construction			
3	Le Sy Long	Kinh	2,475			500		0%	Protective area of construction		200	
4	Le Sy Thu	Kinh	3,760		300			0%	Protective area of construction			
5	Le Sy Thi	Kinh	5,075		300			0%	Protective area of construction			
6	Le Sy Tho	Kinh	3,594		300			0%	Protective area of construction			
Total			91,288	11,125	3,039	1,872	500			10	2,130	

APPENDIX 3: PHOTOS OF CONSULTATION MEETINGS





