



MEDIUM CITIES DEVELOPMENT PROJECT
Phu Ly City Sub-Project

RESETTLEMENT PLAN

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REPRESENTATIVE OF CLIENT
Phu Ly Urban Development PMU

CONSULTANT
Joint Venture of I.COM – WATERCO

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EXCHANGE RATE

(As of 02/12/2016)

Unit	–	VND
\$1.00	=	VND 22,214

ABBREVIATIONS

AH	Affected Household
PMU	Project Management Unit
GoV	Government of Vietnam
DMS	Detailed Measurement Survey
CRC	Compensation and Resettlement Council
RP	Resettlement Plan
LIA	Low Income Area
MOLISA	Ministry of Labour, Invalids and Social Affairs
FS	Feasibility Study
WB	World Bank
RPF	Resettlement Policy Framework
TOR	Term of Reference
PC	People Committee

DEFINITION OF TERMS

Displaced Persons (DPs)

This term is used in the Resettlement Policy OP 4.12 of the World Bank. Individuals or families, organizations, private agencies or public bodies affected by the project, resulting in:

- Relocation or loss of shelter;
- Loss of assets or accessibility to assets;
- Loss of income sources or means of livelihood, regardless of relocation or not; and
- Restriction of accessibility to legally designated parks or protected areas causing adverse impacts on their livelihoods.

DPs include people affected by land acquisition for project construction (temporary or permanent) and / or to expand the scope of resettlement site for the affected households to relocate to live.

Involuntary Resettlement

That is the relocation of homes, property, income and livelihoods of affected persons in an involuntary manner within the Project scope

Resettlement Assistance

Means the support for those affected by property (particularly productive asset), income, jobs or sources of living to achieve or at least restore the standards of living and quality of life to the pre-project level.

Cut-off date

The date that the sub-project is approved and the project landmarks are made. Affected persons and local communities will be informed of the cut-off date for each Project component by the project management unit and relevant local authorities, and any persons moving into the project area after that date will not be entitled to compensation and assistance under the Project.

Detailed measurement survey (DMS)

That is the survey and / or validation of value and specific details about the results of the inventory of losses, severity of impacts, list of affected persons initially established during the preparation of final resettlement plan.

Compensation

Payment in cash for the impacts on land, housing, income and other assets affected by land acquisition for the project implementation.

Entitlements

The range of compensation measures, support and evaluation, including income restoration support, moving assistance, income restoration assistance, relocation and resettlement assistance for affected persons to restore their socio-economic facilities

depending on the type and severity of their losses.

Host communities	Residential communities are living in the existing resettlement sites or new resettlement sites and/ or communities are living around these areas.
Income Restoration /livelihood improvement	The support and interventions so that people affected on livelihoods could reset and restore their income and living standards.
Land acquisition	The process by which the State issued administrative decisions to acquire the land-use rights or land allocated to users as regulated.
Relocation/ Resettlement sites	The movement of the affected persons from their old residence and resettlement site means a new residence of APs.
Replacement Cost	<p>The term used to determine the sufficient value to replace lost assets and cover transaction costs needed to replace the affected assets, including the cost of raw materials and labor costs, as follows:</p> <ol style="list-style-type: none"> Replacement cost definition is used to calculate the compensation payment for an affected asset based on the market prices plus transaction costs including taxes, costs of transportation and labor force, etc. (OP 4.12, note 11). Market price is determined by the PMU with the confirmation of the local authorities and in consultation with the affected persons. The methods for estimating the market prices should be updated at the time of compensation, support to achieve the practicality. Houses and eligible structures which are usable and associated with the land based on current market prices of materials and labor without depreciation or deductions for salvaged building materials plus fees for obtaining the ownership papers; Standing crops based on the current market price of the crops at the time of compensation; Perennial crops, fruit trees will be compensated in cash equal to the current market value given for the age, type, productive value (future production) at the time of compensation.
Replacement Cost Survey	Means the process involved in the determination of replacement cost for land, houses and other affected assets based on market survey.
Vulnerable Groups	Distinct individuals or groups of people who might suffer disproportionately from the risk of land and property acquisition or building resettlement sites specifically including: (i) households falling under the MOLISA's poverty line, (ii) households with of

martyrs, wounded and sick soldiers, heroes of the people's armed forces and labor, and families who sacrificed to the Revolutions; and households suffering from Agent Orange; (iii) Any additional group determined by meaningful socio-economic surveys and public consultations.

EXECUTIVE SUMMARY

Introduction

1. Medium cities development project - Phu Ly city Sub-project (original project) was approved under Decision No. 1218/QD-UBND dated 12 October 2011 of Ha Nam PPC on approval of the Feasibility Study and Procurement Plan.
2. Up to date, from initial efficiency, Phu Ly city has proposed for additional funds for new components of project, including:
 - Component 1: Basic infrastructure upgrade and service improvement;
 - Component 2: Environmental sanitation improvement;
 - Component 3: Urban roads and bridges;
 - Component 4: Project Management and Technical assistance.
3. This resettlement plan is prepared for additional credit loans of the project, guiding activities related to compensation, assistance and land acquisition in the process of implementing additional credit loans of the Project.

Objectives of the Resettlement Plan

4. This resettlement plan (RP) is prepared for items under the Medium Cities Development Project – Phu Ly city Subproject, Additional Financing (AF), funded by the World Bank. There are results from statistic data about affected persons/ assets in the project area, several surveys performed to determine the replacement cost, review the entitlements related to any impacts by the project and in the context of the new law of land No. 45/2013/QH13, which took effect from July 1st, 2014. In particular, the contents of this resettlement plan include the impact scope of land acquisition and resettlement, policy principles, entitlements and eligibility to compensation, implementation arrangements; monitoring and evaluation, policy frameworks of community's participation and consultation, grievances and grievance redress mechanism.

Scope and Impacts of Land Acquisition

5. In the relation to the proposed work items, the project is expected to affect on **208,848m²** land owned by **230** households and 6 units as the People's Committees/ management organizations, including **22,190 m²** of residential land; **34,104 m²** of agricultural land; **2,675 m²** of aquacultural land; **4,543 m²** of land managed by the organization; **145,336 m²** of public land owned by the Commune/ward PCs as specialized land, rivers and streams, and transport land. There are 162 households impacted with land and fixed assets by the project, of which 109 households are partly affected and 53 households are totally affected and have to relocate. Among the affected households, there are 45 affected households losing 20% or more (10% or more for vulnerable group) of their agricultural landholding; 35 vulnerable households, and 28 households affected by business.

6. According to the survey results, affected households are belonging to the following components:

- (1) Upgrading infrastructure for the residential area in the North Quang Trung ward
- (2) Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city
- (3) Upgrading Lam Ha 1 regulation lake, Lam Ha ward
- (4) Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie - Ninh Binh expressway
- (5) Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie - Ninh Binh expressway.

Linked project

The screening results showed that there is a linked project, which is a resettlement site in Me Thuong village, Liem Chinh ward to provide land plots for the relocated households to move in. Most of the land acquisition activities and site clearance were completed in 2005 (about 80.5% of the total site area with 32 PAHs) and the remaining land has been acquired in April-June, 2016 (with 23 PAHs). All 55 PAHs were marginally affected. The site clearance and compensation activities have been reviewed to assess compliance with the Gov. regulations for 32 PAHs who received compensation in 2005 and with the project policies (OP4.12) for 23 PAHs receiving compensation in 2016. The reviews showed that all the compensation were done in line with the Gov regulations, hence, there are some gaps in compensation for 23 PAHs receiving compensation in 2016 compared with those stipulated in the policies of the MCDP project, therefore, the Phu Ly city will re-consider the compensation plans for these households to ensure compliance with the project's policies. The resettlement site' infrastructures are being developed and estimated to be completed by the end of 2016 to be ready for the PAHs to move in.

Mitigation measures

7. In the process of project designing, the Project Management Unit has cooperated closely with the Consultant and resettlement specialists to avoid or minimize and limit the size of land acquisition and the level of resettlement impact at the minimum level in all work items of Components 1, 2 and 3 of the project. Measures to minimize the negative impacts of the project were carried out by studying the project design plans in order to not only promote the project investment efficiency but also minimize the land acquisition at the lowest level.

8. Simultaneously, the plans to minimize the temporary impacts in the construction phase have been studied and proposed, in order to avoid and/ or minimize these impacts during the implementation of project.

Legal framework and entitlements

9. The entitlements for affected households of the Phu Ly city sub-project will be complied with WB's policy on involuntary resettlement (OP/BP 4.12) and the laws,

regulations of the GoV and the Resettlement Policy Framework (RPF) which has been agreed between the Government of Vietnam and the World Bank.

10. The basic principle applied for the preparation of this Resettlement Plan is that relocated persons have to be “supported sufficiently to improve their living standards, the ability to generate income and productivity level better than the pre-project level or at least equal to their living standards prior to the project implementation. The lack of legal basis for the land use of affected households will not interfere the affected households in accessing the entitlements to compensation and/ or assistance for their economic restoration. Lost properties have to be compensated at the replacement cost.

Resettlement site

11. Households and individuals whose houses and residential land are entirely acquired or the remaining area after the acquisition is not large enough to stay or lower than the new allocation quota of residential land in the locality, will be arranged plots in the resettlement sites. According to the results of resettlement survey, the resettlement demands from affected households are **72 plots** (of which 53 plots for households and 19 provident plots for arising households).

12. Currently, 03 resettlement sites have been or being built for site clearance for Phu Ly AF projects, including the resettlement site in Me Thuong village of Liem Chinh ward, the resettlement site in Lam Ha ward and the resettlement site in Quang Trung ward. While the first site is being developed to be ready by the end of 2016, the other two sites are ready to arrange the resettlement for relocated households if they have demand to relocate to the resettlement sites. These two sites have been included in the RP of the parent project.

Livelihood restoration program

13. Livelihood restoration program is an important activity of the compensation, assistance and resettlement plan. In this project, a vocational training and job introduction program provided by the Job Introduction Center under the Department of Labor - Invalids and Social Affairs of Ha Nam Province, Job Services Center in Phu Ly city, Ha Nam Synthetic Technical Career Center has been studied and proposed to be applied to the affected persons by the project, contributing to restore their livelihoods and ensure their living standards at least equal to or better than the pre-project level. In addition, if AHs have demands, they will also get a loan from the Social Policy Bank of Ha Nam Province for household economy development with preferential policies and specific instructions and/ or free costs of procedures and related papers.

Implementation Arrangements

14. The compensation, assistance and resettlement of the project will be subject to the management and supervision of the Project Management Unit of Phu Ly city and implemented by the City Land Fund Development Center (LFDC)/ the City Site Clearance Committee. During the implementation process, there should have the close coordination between the members of the Compensation and Resettlement Council of the city. In the

implementation process, the implementing organizations should have close coordination with the relevant authorities, the authorities at wards/ communes level and the communities in the project area to ensure that the compensation, assistance and resettlement activities are performed openly, transparently, on time and in compliance with the approved RP.

Consultation and participation

15. Affected subjects and communities have been adequately and timely provided with information, consulted on the compensation plans and given the opportunity to participate in planning, implementing and monitoring the resettlement. Suitable and feasible Grievance Redress Mechanism has been developed for AHs.

16. In order to achieve that goal, during the process of project designing, the local government, the local mass organizations and all the affected households have been consulted and disclosed with information during the preparation stage of the project. In addition, 182 out of 278 affected households participated in questionnaire-based surveys. The collected information in the consultation meeting is not only useful in developing the resettlement policies for the project but also helpful in developing the compensation plans during the implementation process.

Monitoring and evaluation

17. This resettlement plan will be carried out under the supervision of the Project Management Unit of Phu Ly city. Simultaneously, the PMU also recruits an independent monitoring agency/ individual to monitor the implementation of the resettlement plan.

18. Upon completing the project, the independent monitoring agency/ individual will evaluate to determine whether the objectives of the resettlement policy have achieved or not, and especially assess living standards, the ability of livelihood restoration from the affected households after the resettlement. In case the evaluation results show that these objectives are not achieved, the PMU will propose follow-up measures as the basis for the World Bank to continue the monitoring until WB finds it suitable.

Grievance and redress mechanism

19. The parent project has established an independent Grievance Redress Board who will continue to support in resolving and monitoring the processes related to grievances, complaints and inquiries as a result of the project intervention. The mechanism established by the project aims to allow affected persons (APs) to lodge their complaints and receive the resolutions under the project's resettlement policy framework (RPF) and the project's operational guidelines. Four different steps to settle complaints have been reflected the roles of the Grievance Redress Board, the Provincial People's Committee, the City Courts. The PMU's officers in charge of resettlement will work directly with DPs as an official first step of resolving complaints prior to coming up with the Grievance Redress Board. The aggrieved APs will be fully informed of the information of grievance redress mechanism via the appropriate measures.

Cost estimate

20. The total cost for site clearance and independent resettlement monitoring of this project is estimated at VND 127,178, 592,860 (equivalent to US\$ **5,721,155**). (Exchange rate: US\$ 1 = VND 22,214). This budget includes costs of compensation/ assistance for land, structures, assets affected by project, the income restoration program, transitional assistance, cost of monitoring and evaluation, cost of implementation management and contingency.

21. Estimated cost for the site clearance implementation will be updated according to the detailed design and the time of land acquisition based on the results of the independent valuation unit).

Budget

22. Budget for compensation, assistance and resettlement of this sub-project; and cost of independent valuation consultant will be funded by the project counterpart fund. The training cost for resettlement, independent monitoring will come from IDA fund.

1. GENERAL INTRODUCTION

1.1. Project background

23. Medium Cities Development Project was approved by the Prime Minister in Official Document No. 602/TTg-QHQT dated April 16, 2010. On January 12, 2012, the Credit Agreement No.5031-VN was signed between the Government of Vietnam and the World Bank. The project used the World Bank's IDA fund and counterpart fund from the provincial budget/state budget.

24. The development objective of the project is to increase access to improved urban infrastructure services in Lao Cai City, Phu Ly City, and Vinh City in a sustainable and efficient manner. The MCDP project is implemented in Phu Ly city (Ha Nam province), Lao Cai city (Lao Cai province) and Vinh city (Nghe An province), consisting of 4 components: (1) Basic infrastructure upgrade and service improvement; (2) Water supply and sanitation; (3) Urban roads and bridges; (4) Project management and technical assistance.

25. Implemented from 2012, the project is on the right track to gradually achieve its development objectives. Components that have been invested under the original project are promoting a huge economic efficiency and enhancing people's living conditions, creating motivation for infrastructure development, improving the urban face and gradually bring the city toward civilized, clean and sustainable development. The total World Bank's IDA committed initially was US\$ 210 million. In fact at this stage, it is only US\$ 182.91 million (down 12.0% due to the fall in the exchange rate of SDR against the dollar) for 3 cities. Lack of IDA funding due to declining of SDR exchange rate against the dollar made some important investments of Lao Cai and Phu Ly impossible to be implemented in the original project that results in risk of affecting the development objectives of the project. Also, the funding source allocated for the original project (Lao Cai, Phu Ly were allocated only US\$ 57.5 million), some of the urgent items of Lao Cai and Phu Ly have not been included in the original project.

26. Like other cities in the country, urbanization is happening rapidly in Phu Ly and Lao Cai. The rapid growth of urban population causes pressure on infrastructure and improvement of environmental sanitation. Lao Cai and Phu Ly proposed for additional IDA fund to offset the deficit of exchange rate and improve the project investment efficiency through investments in some necessary additional credit loans. Lao Cai and Phu Ly requested the World Bank to provide additional funding to implement these additional credit loans.

27. The main reasons for proposal of additional IDA fund by Phu Ly and Lao Cai are:

- (1) To cover the capital shortfall due to decline in exchange rate between the SDR and US\$;
- (2) To improve the effectiveness of the project through investment in some necessary additional credit loans due to limited initial capital source that has not been included in

the original project; and supplement some necessary items to improve investment efficiency.

28. Before effectiveness and benefits of the investment items of the original project and the necessity for additional funds for the project, the World Bank agreed on a policy for Phu Ly and Lao Cai to study and propose an additional capital; and provide important orientations for implementation plan of the key actions for proposal of Supplementary Financing Agreement by two provinces to complete the entire project (Shown in the management letters on November 13, 2015 and February 15, 2016 of Ms. Victoria Kwakwa – Country Director of the World Bank in Vietnam to Chairmen of People’s Committees of Ha Nam, Lao Cai and Nghe An provinces).

1.2. Medium cities development project - Phu Ly city subproject

1.2.1. Objectives of project

➤ Overall objectives

29. The overall objective of the project is to increase access to improved urban infrastructure services in selected medium-sized cities in Vietnam.

30. Phu Ly City Sub-project - additional credit loan aimsto improve living conditions of local people, especially communities belonging to the group of 40% of the lowest income population.

31. Continuing to contribute to building the city into a big city, an economic center and locomotive of the growth that meet the targets of socio-economic development of Ha Nam province; a momentum of exchange that contributes to the economic development of the whole southern North Delta. Investing in construction of a technical infrastructure framework toward the planning orientation of Phu Ly city until 2020, thereby attracting investors to the city, promoting economic development, creating momentum for city to complete and become a satellite city for Hanoi capital.

32. Meeting the objectives of socio-economic development of Ha Nam province until 2020, and vision to 2030 that have been approved by the Prime Minister; planning Phu Ly city to become class II urban before 2020.

33. Enhancing rainwater drainage capacity, collection and treatment of wastewater, environmental sanitation improvement, clean water supply, power supply in order to improve living conditions for the local people and contribute to the completion and development infrastructure, meet the requirements of general development of the city.

➤ Specific objectives

34. The specific objectives of Phu Ly City Sub-project – additional credit loans are:

- Improving, enhancing the living conditions of the low-income residential areas in the project area, such as the northern residential area of Quang Trung ward and Duong Am and Quynh Chan residential group in Lam Ha ward by upgrading of internal roads, construction of

water supply pipeline network, combined sewers, construction of wastewater overflow chambers, construction of Phu Van kindergarten and Tran Quoc Toan primary school.

- Improving environmental sanitation, urban landscape, helping resolve the situation of flooding, landslide in rainy season by investment in Upgrading Lam Ha 1 regulation lake, Lam Ha ward, construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie - Ninh Binh expressway.
- Upgrading and improving Bien Hoa road as it is the main axis of Phu Ly city. Due to low elevation of the road, the road frequently suffers from flood and local inundations in rainy season that obstructs transportation and affects urban landscape as well as environmental sanitation.
- Fostering the performance ability of urban roads to ensure environmental sanitation, facilitate the urban development and inter-regional exchange by investing in upgrading and improvement of Tran Hung Dao road from Me ramp to Cau Gie – Ninh Binh expressway. Those routes are the axes connecting the provinces of Ninh Binh, Nam Dinh and Hung Yen, etc. with the new urban areas where there are key projects such as Bach Mai Hospital (facility 2), Viet Duc hospital (facility 2), the central bus station and the high quality service-economic center, etc.

1.2.2. Investment items

35. **Medium Cities Development Project - Phu Ly city Sub-project** (original project) was approved under Decision No.1218/QĐ-UBND dated October 12, 2011 of Ha Nam PPC on the approval of the Feasibility Study and Procurement plan.

36. At the present, from initial efficiency, Phu Ly city has proposed for additional credit loans of project, including:

Total cost : US\$ 32.91 million

+ IDA + IBRD fund: **US\$ 26.0 million** (in which: IDA fund: **US\$ 6.5 million**; and IBRD fund: **US\$ 19.5 million**)

+ Counterpart fund: **US\$ 6.91 million**

37. **The project includes 04 components:**

Component 1: Basic infrastructure upgrade and service improvement:

- Upgrading infrastructure for the residential area in the North Quang Trung ward;
- Upgrading infrastructure in Quynh Chan residential group, Lam Ha ward
- Upgrading infrastructure in Duong Am residential group, Lam Ha ward
- Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city;
- Upgrading Tran Quoc Toan Primary School, Hai Ba Trung ward.

Component 2: Environmental sanitation improvement:

- Upgrading Lam Ha 1 regulation lake, Lam Ha ward (from initial design of project);
- Upgrading drainage and technical infrastructure system for Bien Hoa road;
- Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie- Ninh Binh expressway

Component 3: Urban roads and bridges:

- Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie -Ninh Binh expressway;

Component 4: Project management and technical assistance:

This includes costs of the services of construction supervision consultant, procurement support, contract management, environmental and social safeguards monitoring, independent audit and PMU's operational cost.

Table 1.1: Proposed work items

No.	Component	Proposed investment value (million US\$)
1	Component 1: Basic infrastructure upgrade and service improvement	
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	1.26
1.2	Upgrading infrastructure in Duong Am residential group, Lam Ha ward	1.16
1.3	Upgrading infrastructure in Quynh Chan residential group, Lam Ha ward	1.06
1.4	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	1.01
1.5	Upgrading Tran Quoc Toan Primary School, Hai Ba Trung ward	0.99
2	Component 2: Environmental sanitation improvement	
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	1.95
2.2	Upgrading drainage and technical infrastructure system for Bien Hoa road	1.96
2.3	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie- Ninh Binh expressway	5.97

No.	Component	Proposed investment value (million US\$)
3	Component 3: Urban roads and bridges	
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	9.11
4	Component 4: Project management and technical assistance	1.53

2. OBJECTIVES OF RESETTLEMENT PLAN

2.1. Objectives of Resettlement plan

38. Pursuant to Article 6 of the Decree 38/2013/ND-CP dated April 23, 2013 of the Government on management and use of Official Development Assistance (ODA) and concessional loans from donors, one of the five basic principles in management and use of ODA is "complying with the provisions of the law of Vietnam and international treaties on ODA of which the Socialist Republic of Vietnam is a member. In the case the international treaties on ODA of which the Socialist Republic of Vietnam is a member have provisions different from provisions of Vietnam laws, provisions of international treaties shall prevail". The Land Law No. 45/2013/QH13, Clause 2, Article 87 states that: "For projects using loans from international or foreign organizations for which Vietnam has committed to a policy framework for compensation, assistance and resettlement, the policy framework will prevail".

39. Resettlement Policy Framework (RPF) of the project was prepared based on the Resettlement Plan approved by the Prime Minister and cleared by the Donor before the time of Agreement negotiation to ensure harmony between the World Bank's OP/BP 4.12 and the Vietnam's laws and regulations on compensation, assistance and resettlement. The basic objective of the RP is to ensure that all affected persons by the project (APs) will be compensated for their losses at replacement cost and assisted with livelihood restoration measures to help them improve or at least maintain the living conditions and the income-generating capacity as the pre-project level.

40. This Resettlement Plan provides guidelines for implementing activities related to compensation, land acquisition during the implementation process of Project's additional credit loans that involved in land acquisition, compensation, resettlement regardless financial source.

2.2. Scope of Resettlement Plan

41. Resettlement plan is prepared for additional credit loans of project based on the approved Resettlement Policy Framework of the MCDP Project to provide guidelines for implementing activities related to land acquisition and site clearance by the Project.

3. POTENTIAL IMPACTS

3.1. Mitigation measures for land acquisition and resettlement

3.1.1. Objectives

42. The first principle of the WB's Policy on resettlement is to avoid or minimize the impacts of resettlement and land acquisition. In the event that land acquisition is inevitable, it is necessary to apply mitigation measures and/or make appropriate compensation to project affected households.

3.1.2. Mitigation measures of impacts

43. In the project design process, the PMU closely coordinated with the project preparation consultant and resettlement specialists in an effort to avoid or mitigate project impacts at minimum level for all items of Components 1,2 and 3 of the project. However, the impacts on land acquisition and clearance are unavoidable for the construction works of the project.

44. Accordingly, there are only 05 out of 09 additional credit loans involved in land acquisition and resettlement in project area, specifically:

- Upgrading infrastructure for the residential area in the North Quang Trung ward
- Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city
- Upgrading Lam Ha 1 regulation lake, Lam Ha ward
- Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie- Ninh Binh expressway
- Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie – Ninh Binh expressway

45. To minimize the impacts on households, including directly and indirectly affected households during the construction process, some mitigation measures are proposed to be applied as follow:

1. *First*, the first action to minimize the impacts of project is to help households understand the information on the location and benefits of the project as well as the estimated impacts to establish a suitable policy framework for minimizing impacts. Public consultations have been conducted in the province to inform (i) the project information and (ii) the expected impact as well as the land acquisition and the resettlement compensation methods. In the Public consultation meetings, many ideas were raised. Generally, the people living in project area supported the implementation of the project and desired the project to be implemented early.
2. *Second*, regarding to land acquisition and resettlement for households who are currently living in the areas affected by the project, several public consultations have been conducted with the local authorities, the affected persons in the project

area to discuss issues related to relocation and income restoration for households to find appropriate solutions.

3. *Third*, for some cases where households are nearby the construction sites, temporary impacts during construction phase are unavoidable. Adequate compensation and assistances will be provided to restore the damages in accordance with the project policies.
4. *Fourth*, in the construction process, there will be negative impacts on local people, like livelihood restoration for affected households. Therefore, mitigation measures in the construction process will be applied such as successive construction, definite completion of construction of each segment and broad notification of the construction time to affected households according to the regulations.
5. *Finally*, numerous meetings have been implemented with the technical team to determine the position of civil works, public works and the selection of design alternatives to avoid/minimize adverse impacts and/or displaced from their residence, etc. and establish criteria to minimize the impacts in the construction process such as developing labour safety plans (when constructing close to residential areas), making proper arrangements of materials and tools (signage, partitions with the residential areas, etc.), time, construction schedule, etc. to minimize the temporary impacts in the construction process as well as the project implementation.

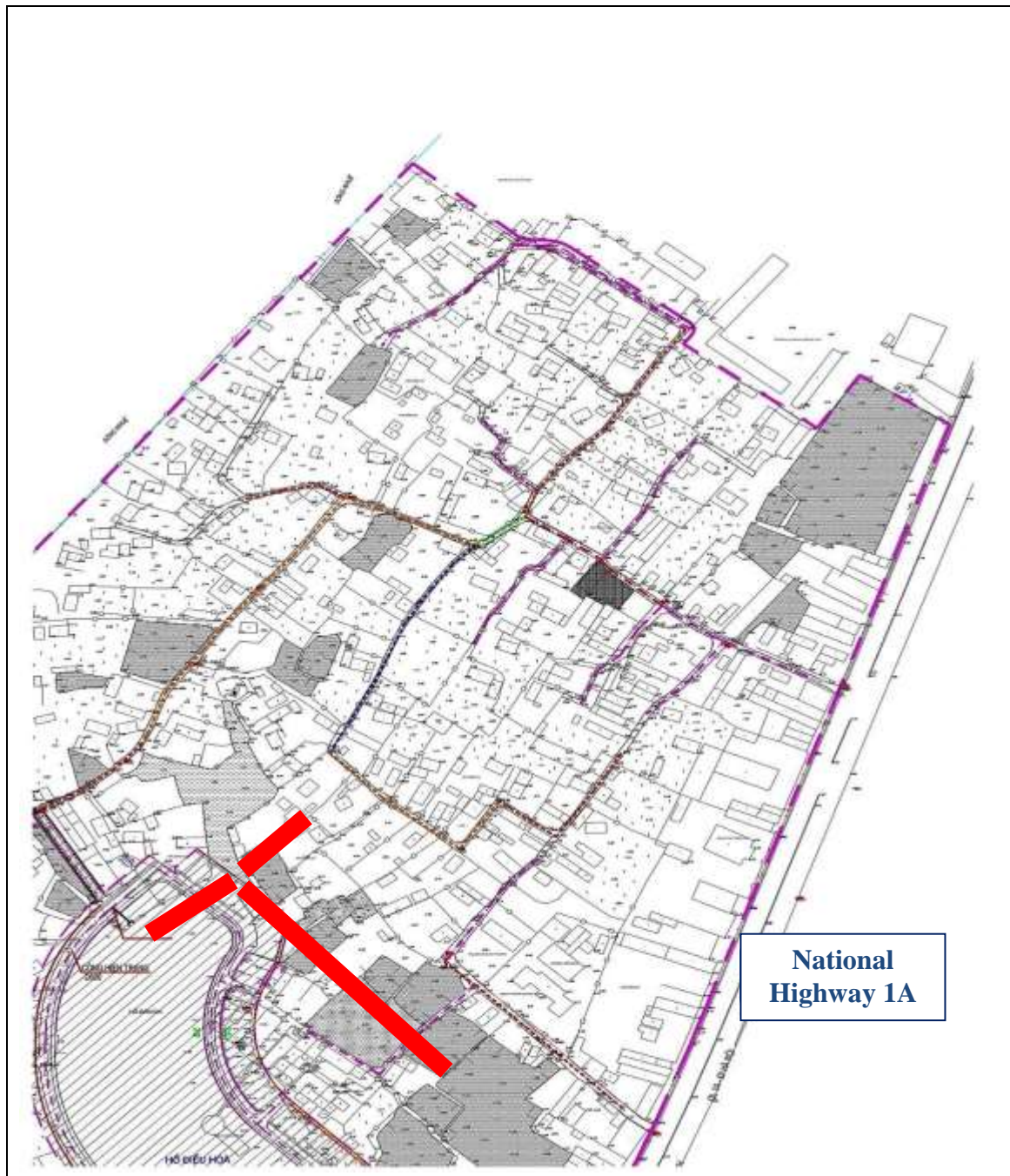
3.2. Additional Financing and resettlement issues

46. **Medium Cities Development Project - Phu Ly city Sub-project** includes 4 components. The project has 9 main items; However, only 5 out of 9 items involved in land acquisition and resettlement in the project area. Namely:

3.2.1. Upgrading infrastructure for the residential area in the North Quang Trung ward

47. Quang Trung ward is one of urban wards of Phu Ly city. Because of geographical location and different objective and subjective reasons, the infrastructure system of the northern area of Quang Trung ward has not been invested under the MCDP original project. To satisfy real needs of people and the result of surveys (technical survey and public consultations), the scale of construction for this area has been proposed as below:

- Transportation: Construct planned road B=11.5m and upgrade the main existing internal roads in the area;
- Drainage: Construct new drainage system to ensure the regional demands for sewage and rainwater drainage;
- Electricity : Construct, install electric lighting system for the main traffic routes on the basis of the existing low-voltage power poles.



**Figure 3.1: Location of Upgrading infrastructure for the residential area in the North
Quang Trung ward**

3.2.2. Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city

❖ Infrastructure

48. Currently, there is no infrastructure here, so all of the children have not learned concentrate but separated at various points and integrated classes. Therefore, the infrastructure of the separated classes have not been invested, downgraded infrastructure; classrooms and relax rooms for students are small and roofed by corrugated iron.

❖ Construction needs

49. Because of the lack of school for children in reality, the construction of Phu Van kindergartens has been proposed in the list of the investment project in the medium-term period of 2016 - 2021. The location which is approved by Ha Nam Provincial People's Committee is part of the parcels of land No. 28, 34, 35, 44, 45, 48 and 103 in map No. 04 (cadastral maps of Phu Van commune). Based on the TCVN 3907:2011, the kindergarten: the designed standards and learning and teaching needs of children and teachers, the scale of construction of kindergarten in Phu Van commune is proposed as below:

- Classrooms: 16 rooms;
- Learning service block: art education room (2 rooms), physical education room (1 room);
- Administrative office block: room of principal, room of vice principal, board room, guestroom for teachers, health care room, traditional room, office, administrative office, guard house;
- Block for living activities: kitchen;
- Garage area for teachers and parents to drop-off and pick-up children;
- Garden area: yard, playground, garden...

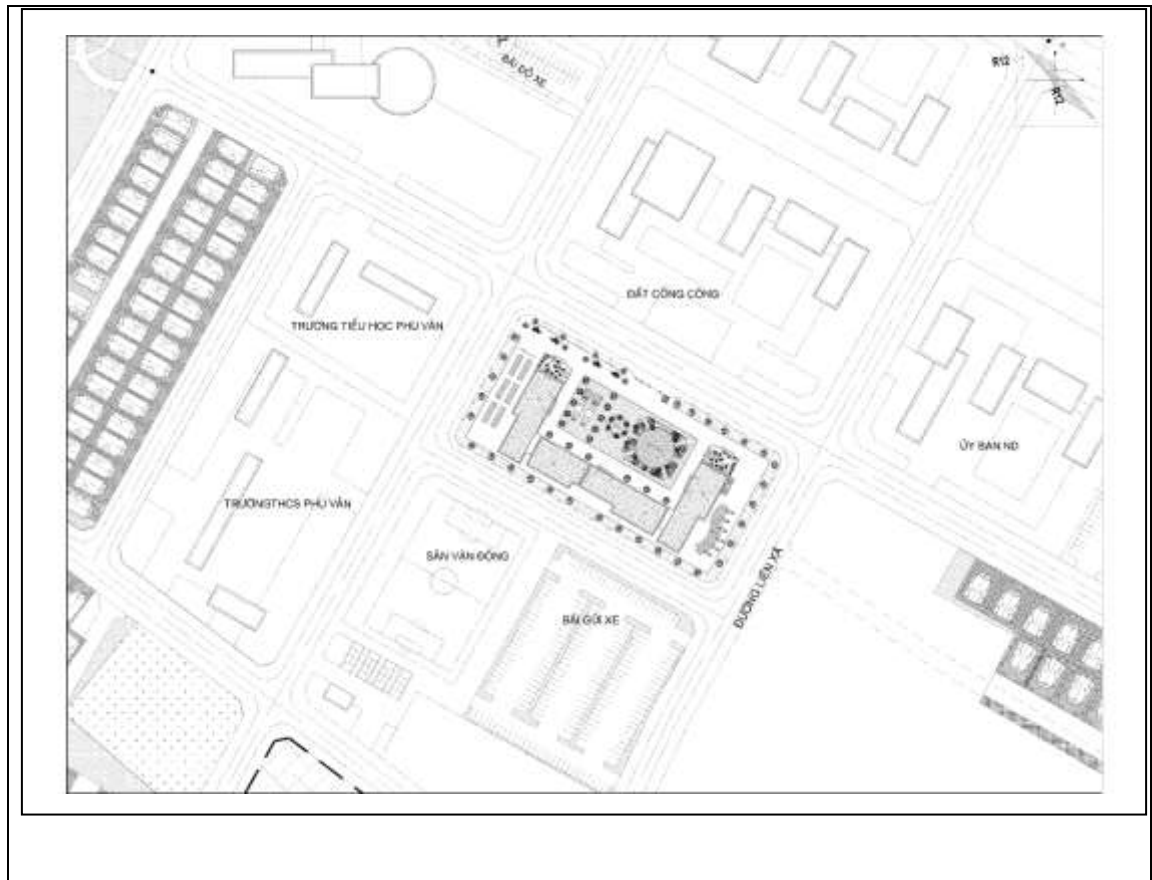


Figure 3.2: Constructing location of kindergartens in Phu Van commune, Phu Ly city

3.2.3. Upgrading Lam Ha 1 regulation lake, Lam Ha ward

50. Lam Ha 01 Lake have a total area of 7.54 ha, bounded by the North-South railway along the national highway 1A to the West, Chanel A48 to the North, the provincial road (Nguyen Chi Thanh road) to the East, Lac Trang II pumping station and Nguyen Chi Thanh road to the South. Lake is functioned to regulate flow of rainwater drainage, create landscape of urban environment. The investment items include: excavation, dredging and embankment; lakeside tree planting; walkway around the lake; installation of electrical lighting systems; installation of interceptor sewers and wells separating wastewater around the lake to collect and deliver wastewater around the lake to the wastewater treatment plant.

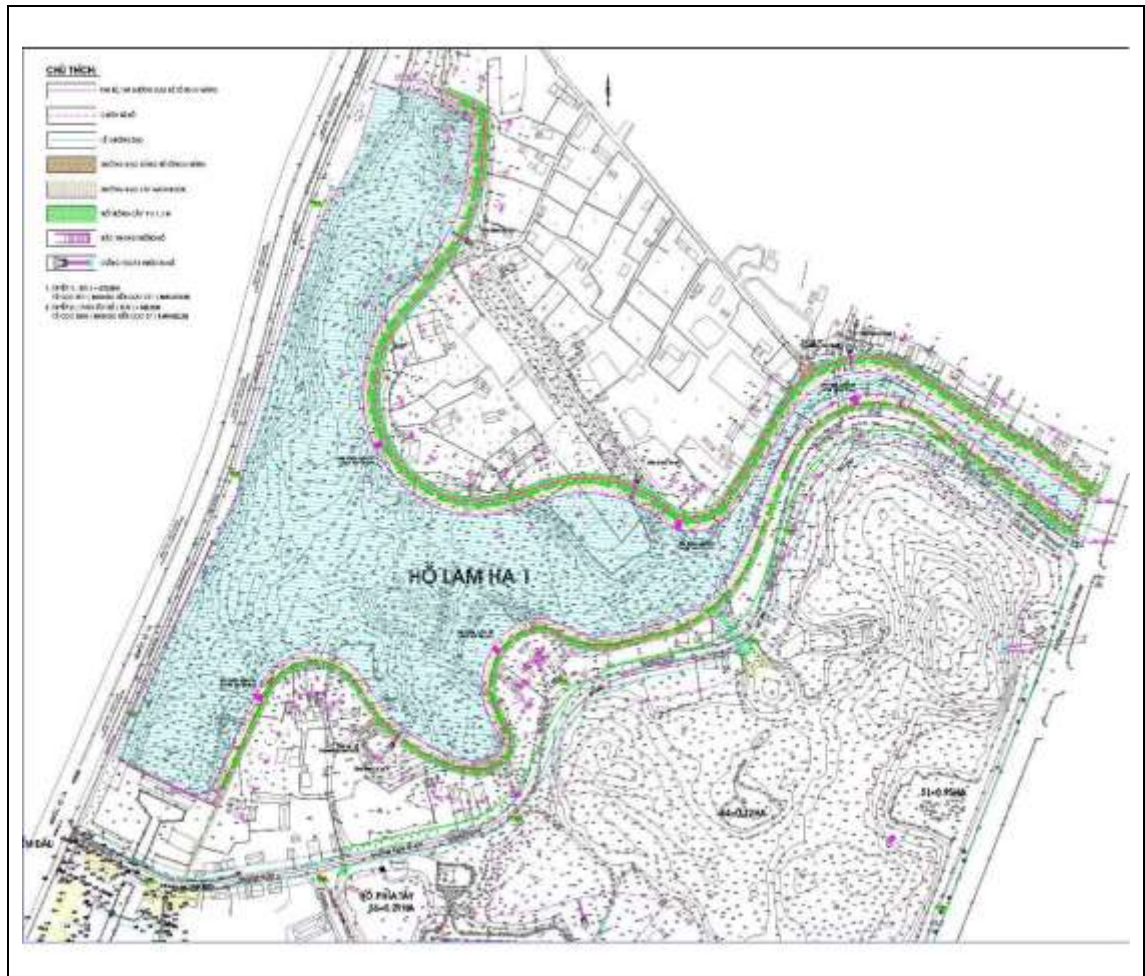


Figure 3.3: Building location of Lam Ha 01 lake

3.2.4. Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gié - Ninh Binh expressway

51. Scope of construction works in the territory of Liem Chinh commune, Phu Ly city and Liem Tuyen commune, Thanh Liem district, Ha Nam province.

52. Current status of the south bank of Chau Giang River is earth backfilling dikes with heterogeneous elevations and unstable structures. Earth embankment with many eroded passages, particularly in heavy rains, the rising of water river often flooded more than 450 households in the neighborhood. On the other hand, due to structural instability of dykes, there are risks of dyke's collapse when river water highly rise, causing danger for entire communities of in the South of Chau Giang.

53. It is necessary to invest in construction of reinforced concrete embankment in the south of Chau Giang River to overcome landslides, erosion of dykes and secure flood protection for Chau Giang Southern area. The total length of embankment is 2,428m, the embankment is divided into 03 different types of structures in line with the current conditions and the city's planning.

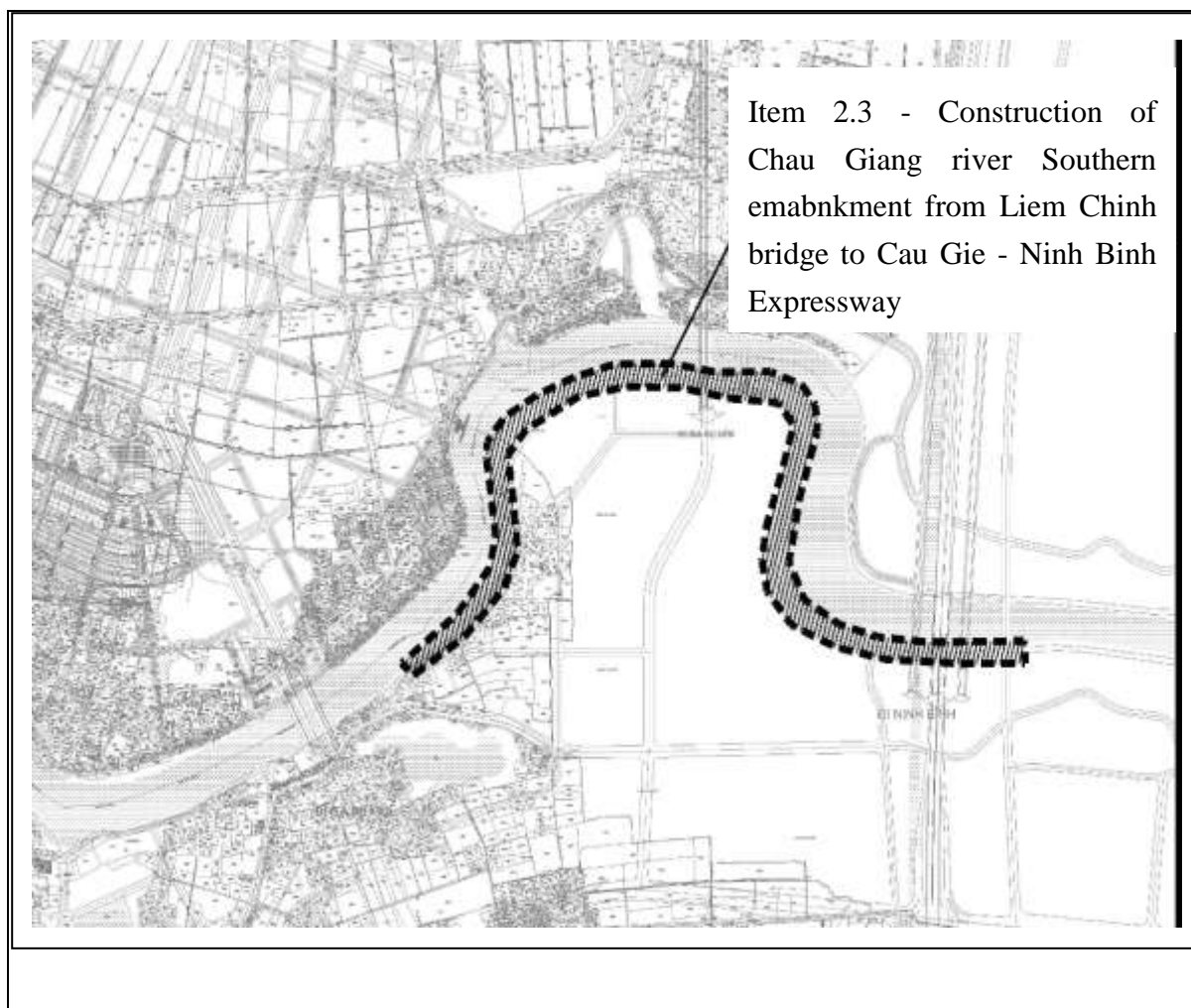


Figure 3.4: Construction location of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie - Ninh Binh expressway

3.2.5. Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie - Ninh Binh expressway

54. Tran Hung Dao road (former provincial road 491) have cross-sectional width 30 m, length of 1,585m, with large volumes of traffic, is already degraded causing difficulties for the transportation of people.

55. This is the urban road belonging to the former provincial road DT491. This segment plays important roles as one of the urban main arterial roads in the Southern Chau Giang, Phu Ly City, and provincial axis connecting Phu Ly city with the eastern districts of Ha Nam Province. Road's traffic density is quite crowded, however, the current state of the existing road is deteriorated with many "pot-holes", significantly affecting traffic safety, dusty environmental pollution. Levels of roadbed in some sections are not consistent with the surrounding landscape, so the transport connections are difficult.

56. Upgrading road with alignment and general cross section following the overall existing road. The works include:

- Upgrade the roadbase, pavement;
- Construction of drainage culvert system, construction of manholes on the road;
- Construction of sidewalks, tile paving;
- Construction of electric lighting systems;
- Urban Tree Planting;

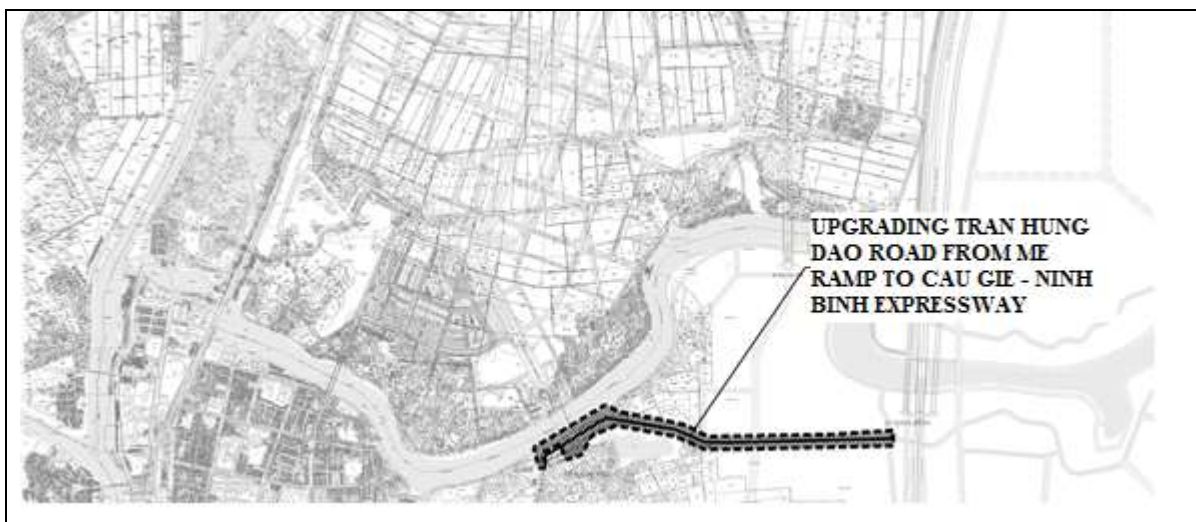


Figure 3.5: Location of Tran Hung Dao road from Liem Chinh bridge to Cau Gie - Ninh Binh expressway

3.3. Linked projects

57. The fact shows that integrated development programs are often invested by many different funding sources (World Bank, Other Donors or National Project). Phu Ly Urban Development Project is not an exception. There are many projects which are invested, being invested or will be invested in the Phu Ly city in recent years. The Resettlement Policy OP 4.12 will be applied to all the sub-projects and investments to be financed by the World Bank under the Project that involve land acquisition, compensation, and resettlement. It also applies to other activities resulting in resettlement, which are (a) directly related to the Project; (b) necessary to achieve its objectives; and (c) carried out, or planned to be carried out, contemporaneously with the Project. Screening results showed that there is a linked project, which is a resettlement site in Me Thuong village, Liem Chinh ward that will provide land plots for some relocated households to move in.

58. The resettlement site consists of 77 land plots, with approximately 70 - 80 m² of each. Site clearance for this resettlement site has been mostly completed since 2005 with 80.5% of the total site area paid and acquired (due to belonging to another project).

59. According to the site clearance compensation plan of the project approved in September 2005, total number of affected households was 37, of which 34 households were affected on agricultural land, among them 4 households were also affected on residential land; and 3 households affected on crops due to cultivation on land managed by CPC. After the compensation and assistance plan for affected households is approved, the City Resettlement

Council coordinated with the Client (Minh Khoi Limited Company) made compensation payment for 32/37 affected households (of which 29 households are affected on land and 3 households are affected on crops). There are 5 households affected on agricultural land (with an area of 1,616m²) have not been paid by the Client at time of compensation payment in 2005 due to lack of fund.

60. In April 2016, Phu Ly CPC issues an additional decision for 5 households affected on remaining agricultural land in accordance with the compensation policy in 2016.

61. In addition, in June 2016, the city People's Committee issued a decision on approving the compensation plan for affected land and non-land assets for 18 affected households (of which 1 household are affected on residential land and 17 households are affected on structures and crops on the illegalizable land but located in the same legalizable land plot). Therefore, total number of affected households is 55 households, of which 35 households are permanently affected on land and 20 households are affected on non-land assets.

62. From April to June 2016, the site clearance and compensation for the remaining land area of the resettlement site has been completed for 23 marginally affected households by losing a part of agricultural land, residential land, fence walls and yards. The total land area acquired for development of the resettlement site is 13,477.1 m², including 319.5 m² of residential land, 8,569.6 m² of agricultural land and 4,588 m² of land managed by CPC.

63. Since the site clearance had been completed in June, 2016, LFDC has signed the Technical Infrastructure Construction Contract on 18 August 2016 for infrastructure development. The expected completion date is Quarter IV, 2016, to be ready for arrangement of relocation for AHs to move in.

64. As of the time of preparing this RP, the land acquisition, compensation and assistance for affected households to develop resettlement sites serving site clearance for the projects in Phu Ly City have been completed. Therefore, a due diligence review of land acquisition activities has been conducted to assess the policy compliance and the level of satisfaction of the affected people. 32 households who received compensation payments since 2005 will be reviewed in compliance with the policies of the GoV and Ha Nam province. 23 households who have just received compensation payments since April – June 2016 will be reviewed in compliance with the project's policies. The review has showed that all affected people were marginally affected and compensated fully in accordance with the policies of the GoV and Ha Nam province. The interviewed people were satisfied with the compensation for the affected assets. There were no complaints on the compensation payment and all the remaining land was handed over to the project in April-June, 2016. However, 23 households who have just received compensation payments in 2016 will be reviewed in compliance with the project's policies. There are some gaps to be complied with the project policies so Phu Ly city will review the compensation plan for these 23 households to make additional assistance to ensure the compliance with the project's policies.

65. Detailed information about affected HHs, the compensation payment, the level of satisfaction with the implemented project policies as well as the livelihood recovery capacity of the HHs affected by land acquisition for development of resettlement sites serving site clearance for the projects in Phu Ly City and other related issues are mentioned in detail in Appendix 1 – Due diligence review of Linked Project.

3.4. Scale of land acquisition and resettlement

3.4.1. Overview of land acquisition

66. An investigation, including a preliminary survey and calculation of affected volume, had been deployed for the people affected by the land acquisition for implementing the project in order to determine the loss of land and fixed assets such as structures, trees, livelihoods and community resources.

67. The survey results showed that the implementation of sub-project will affect 278 households, including 230 households affected directly by land acquisition activities and 48 households affected indirectly by cultivation on the land area managed by the Commune/ward PCs. Also, the project implementation also affects the land owned by 4 commune/ward PCs and 2 organizations (Trieu Xa pumping station in Liem Tuyen commune and Dinh Trang pumping station in Lam Ha ward).

68. A large number of affected households lost more than one type of property such as residential land, annual crops land, structures, trees and crops. Out of 156 households affected on housing and structures, there are 53 households entirely affected on housing and structures and need to relocate and resettle. The survey results showed that there is no ethnic minority households affected by the project in Phu Ly city.

Number of affected households and organizations are summarized in the following table:

Table 3.1: Summary on the magnitude of impacts of sub-project

Contents	Unit	Affected volume
1. Affected households	HHs	278
Household members	People	1,140
A. Households are affected directly by land acquisition	HHs	230
Of which: + Households impacted with residential land	HHs	162
+ Households impacted with agricultural land	HHs	118
+ Households impacted with aquacultural land	HHs	2
B. Households affected indirectly by land acquisition	HHs	48
2. Affected agencies and organizations	Units	6
3. Households impacted with houses and structures	HHs	159
Of which:		
a, Households impacted with houses and structures	HHs	156
+ Partial	HHs	103
+ Entire (have to be dismantle primary house)	HHs	53
b, Households impacted with graves	HHs	3

Contents	Unit	Affected volume
4. Households impacted with trees and crops	HHs	278
5. Physical Relocated households	HHs	53
6. Vulnerable households	HHs	35
Of which:		
+ <i>Poor households</i>	<i>HHs</i>	<i>13</i>
+ <i>Social Policy households</i>	<i>HHs</i>	<i>11</i>
+ <i>Elderly households</i>	<i>HHs</i>	<i>6</i>
+ <i>Women-headed households with dependents</i>	<i>HHs</i>	<i>5</i>
7. Households losing 20% or more of total agricultural landholdings or 10% or more for vulnerable households	HHs	45
8. Affected business households	HHs	28

69. The implementation of the project will affect **208,848** m² of land owned 230 households and 6 PCs/ management organizations, in which:

- Residential land: **22,190** m²
- Agricultural land: **34,104** m²
- Aquacultural land: **2,675** m²
- The land area managed by organizations (Dinh Trang and Trieu Xa pumping stations): **4,543** m²
- Public land: **145,336** m² owned by Commune/Ward PCs is specialized land, streams and rivers and transport land.

Table 3.2: Summary on magnitude of impacts due to land acquisition of Sub-project

No.	Items	Commune/ ward	Affected area					Total affected land area (m ²)
			Residential land (m ²)	Agricultural land (m ²)	Aquacultural land (m ²)	Land managed by organization (m ²)	Land managed by PC (m ²)	
1	Component 1: Basic infrastructure upgrade and service improvement		4,300	4,803	-		6,000	15,103
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	Quang Trung ward	4,300	-	-	-	-	4,300
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	Phu Van commune	-	4,803	-	-	6,000	10,803
2	Component 2: Environmental sanitation improvement		12,081	26,189	575	4,378	132,070	175,293
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	Lam Ha ward	3,813	9,745	575	578	80,917	95,628
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward Liem Tuyen Commune	8,268	16,444	-	3,800	51,153	79,665
3	Component 3: Urban roads and bridges		5,809	3,112	2,100	165	7,266	18,452

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No.	Items	Commune/ ward	Affected area					Total affected land area (m ²)
			Residential land (m ²)	Agricultural land (m ²)	Aquacultural land (m ²)	Land managed by organization (m ²)	Land managed by PC (m ²)	
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward Liem Tuyen Commune	5,809	3,112	2,100	165	7,266	18,452
	Total		22,190	34,104	2,675	4,543	145,336	208,848

Source: Resettlement Survey, August 2016

70. The affected households mentioned above are eligible to compensation, assistance and resettlement (if any) for the affected land and other assets in compliance with the Resettlement Policy of the project. The details are presented in Section 5 of the report.

3.4.2. Statistical data of acquisition of land and other assets

3.4.2.1. Impacts of residential land acquisition

71. In relation to the proposed items of project, it is expected that 162 households under components of the subproject will be impacted with land and fixed assets, of which 109 households are partially affected and viable for continued residence and 53 households are totally affected and have to relocate. Total affected residential land area is 22,190m². According to survey result, relocated households are mainly belonging to the following items:

- (1) Upgrading infrastructure for the residential area in the North Quang Trung ward;
- (2) Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city;
- (3) Upgrading Lam Ha 1 regulation lake, Lam Ha ward;
- (4) Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway ;
- (5) Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie-Ninh Binh expressway.

72. Therefore, the arrangement of resettlement and livelihood restoration program will be focused on this group. The magnitude of impacts on land in each component of the sub-project is shown in the following table:

Table 3.3: Summary of impacts on residential land

No.	Item	Ward/ commune	Affected household			Affected area (m ²)
			Partially	Entire	Total	
1	Component 1: Basic infrastructure upgrade and service improvement		7	5	12	4,300
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	Quang Trung ward	7	5	12	4,300
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	Phu Van commune	-	-	-	-
2	Component 2: Environmental sanitation improvement		75	32	107	12,081
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	Lam Ha ward	16	21	37	3,813

No.	Item	Ward/ commune	Affected household			Affected area (m ²)
			Partially	Entire	Total	
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward	30	0	30	2,755
		Liem Tuyen Commune	29	11	40	5,513
3	Component 3: Urban roads and bridges		27	14	41	5,809
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward	20	9	29	2,544
		Liem Tuyen Commune	7	7	12	3,265
	Total		109	53	162	22,190

Source: Resettlement Survey, August 2016

3.4.2.2. Impacts on agricultural land

73. The implementation of the subproject will affect 34,104m² of agricultural land owned by 118 households. The area of affected agricultural land is mostly paddy land; perennial crops and annual crops. Out of 118 HHs affected on agricultural land, there are 45 severely affected HHs (37 HHs losing 20% or more of total agricultural land area and 8 HHs falling into the vulnerable group losing 10% or more of their total agricultural land area). The remaining 73 HHs are marginally affected (53 HHs losing less than 20% of their total existing cultivation land area, and 20 HHs falling into the vulnerable group losing less than 10% of their total cultivation land area).

Table 3.4: Summary of affected agricultural land

No.	Item	Ward/ commune	Affected household (HH)			Affected area (m ²)
			< 20% or < 10% for vulner able HH	20% or more, or 10% or more for vulnera ble HH	Total	
1	Component 1: Basic infrastructure upgrade and service improvement		9	6	22	4,803
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	Quang Trung ward	0	0	0	0
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	Phu Van commune	16	6	22	4,803
2	Component 2: Environmental sanitation improvement		54	33	87	26,189

No.	Item	Ward/ commune	Affected household (HH)			Affected area (m ²)
			< 20% or < 10% for vulner able HH	20% or more, or 10% or more for vulnera ble HH	Total	
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	Lam Ha ward	26	15	41	9,745
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward	12	8	20	9,979
		Liem Tuyen Commune	16	10	26	6,465
3	Component 3: Urban roads and bridges		3	6	9	3,112
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward	3	0	3	122
		Liem Tuyen Commune	0	6	6	2,990
	Total		73	45	118	34,104

Source: Resettlement Survey, August 2016

3.4.2.3. Impacts on houses and structures

74. The project has selected the optimum design alternative to avoid and minimize adverse impacts on households due to land acquisition; however, impacts of land acquisition and site clearance are unavoidable.

75. According to the results of inventory, there are 156 households affected on housing and structures. Of which, 103 households are partially affected and 53 households are entirely affected on housing and other structures such as secondary structures, toilets, kitchens, yards, walls and sheds, etc. The summary on the type of affected houses and structures under components of the sub-project is shown in the following table:

Table 3.5: Summary on affected houses and structures

No	Item	Ward/ commune	Affected household			Area of affected house (m ²)			Volume of affected structures				
			Partially	Entirely	Total	Permanent house	Semi-permanent house	Temporary house	Sheds	Rock wall (m ²)	Wall (m ²)	Yard (m ²)	Grave (pcs)
1	Component 1: Basic infrastructure upgrade and service improvement		7	5	12	-	662	-	-	-	435	234	10
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	Quang Trung ward	7	5	12	-	662	-	-	-	435	234	10
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	Phu Van commune	0	0	0	0	0	0	0	0	0	0	0
2	Component 2: Environmental sanitation improvement		69	32	101	871	1,386	0	-	996	1,218	1,395	-
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	Lam Ha ward	16	21	37	587	536	-	-	715	648	972	-
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward	24	0	24	110	258	-	231	181	120	83	-
		Liem Tuyen commune	29	11	40	174	592	-	770	100	450	340	-
3	Component 3: Urban roads and bridges		27	16	43	1,358	1,754	267	335	0	241	430	0

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No	Item	Ward/ commune	Affected household			Area of affected house (m ²)			Volume of affected structures				
			Partially	Entirely	Total	Permanent house	Semi-permanent house	Temporary house	Sheds	Rock wall (m ²)	Wall (m ²)	Yard (m ²)	Grave (pcs)
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward	20	9	29	958	741	87	0	0	120	307	0
		Liem Tuyen commune	7	7	14	400	1,013	180	335	0	121	123	0
	Total		103	53	156	2,229	3,802	267	335	996	1,894	2,059	10

Source: Resettlement Survey, August 2016

3.4.2.4. Impacts on trees and crops

76. According to the preliminary results of the inventory, there are 3,804 fruit trees (Dracontomelon duperreanum, longan, pomelo, banana, etc.); 1,153 timber trees and approximately 20,170 bamboo trees, approximately 5,425 m² crops (rice, corn and Crinum asiaticum) to be affected by the project. The summary of the volume of impacts on trees and crops by the subproject is as below:

Resettlement Plan*Table 3.6: Summary on affected trees and crops*

No	Item	Ward/ commune	number of households		Trees and crops			
			The number of households affected directly by land acquisition activities	The number of households affected indirectly by land acquisition activities (farming on land management committee)	Fruit trees (trees)	Timber trees	Others	Crops (m ²)
1	Component 1: Basic infrastructure upgrade and service improvement		34	0	215	100	0	4,403
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	Quang Trung ward	12	-	215	100	0	0
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	Phu Van commune	22	-	0	0	0	4,403
2	Component 2: Environmental sanitation improvement		144	30	3,068	933	15,013	1,022
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	Lam Ha ward	56	2	1,082	350	0	0
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward	34	2	687	289	7,796	0
		Liem Tuyen Commune	54	26	1,299	294	7,217	1,022
3	Component 3: Urban roads and bridges		52	18	521	120	5,157	0
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward	32	8	187	120	570	0
		Liem Tuyen Commune	20	10	334	0	4,587	0
	Total		230	48	3,804	1,153	20,170	5,425

Source: Resettlement Survey, August 2016

3.4.2.5. Impacts on graves

77. The results of a preliminary survey showed that the project implementation will affect 10 graves owned by 3 households in Quang Trung ward. The results of consultations with local authorities and households showed that they supported with the implementation of the project.

3.4.2.6. Impacts on Income and Business

78. According to the preliminary survey results, 28 out of 230 affected households will be affected directly on business activities due to land acquisition, of which 8 HHs own groceries, 6 HHs repair motorbikes, 1 HH sells gasoline, 3 HHs own hostels, and 10 HHs provide food and beverage services. The HHs directly affected on business are mostly belonging to the item - Upgrading Tran Hung Dao Road, the section from Liem Chinh Bridge to Cau Gie - Ninh Binh Expressway. For households temporarily affected on business due to project construction, if construction time prolongs, affecting their business, households will be considered to be assisted. In addition, there are 45 severely affected households due to loss of agricultural land (of which 37 HHs lose 20% or more of their total agricultural land area and 8 vulnerable HHs lose 10% or more of their total existing cultivation area). For households affected on business and income, beside the other kinds of assistance, they will be involved in the income restoration program (IRP). Detailed information about the IRP is provided in the next chapter of the report.

4. SOCIO-ECONOMIC INFORMATION

4.1. General information of Phu Ly city

79. Phu Ly city is a class III urban and provincial city. According to the Resolution No. 89/NQ-CP dated August 26, 2013 of the Government on the extension of the administrative boundary, Phu Ly city has an area of 8,787.31ha. Phu Ly city had a population of 136,654 persons in 2015. Phu Ly city currently has 21 administrative units including 11 wards and 10 communes. Specifically:

- **11 wards:** Minh Khai, Hai Ba Trung, Luong Khanh Thien, Tran Hung Dao, Le Hong Phong, Quang Trung, Thanh Chau, Liem Chinh, Chau Son, Lam Ha, Thanh Tuyen;
- **10 communes:** Liem Chung, Phu Van, Tien Tan, Tien Hiep, Tien Hai, Dinh Xa, Trinh Xa, Liem Tuyen, Lien Tiet, Kim Binh.

80. Phu Ly city is a provincial city, a general center of Ha Nam province, a center of trade, services, tourism, human resources training center, high-tech industry, a trade node with important position on security and defense in the South of Ha Noi capital.

4.2. Socio-economic study of affected households in the project area

81. Medium Cities Development Project in Vietnam – Phu Ly City Sub-project is expected to be implemented in 8 communes/ wards in Phu Ly city, including: Quang Trung ward, Lam Ha ward, Liem Chinh ward, Hai Ba Trung ward, Luong Khanh Thien and Phuong Mai ward and Minh Khai ward, Phu Van commune and Liem Tuyen commune.

4.2.1. Approaches and methodologies

❖ Approaches

82. The participatory approach used in preparing the Resettlement Plan. Accordingly, relocated people are engaged in preparatory phase of Resettlement plan such as in-depth interviews, focus group discussions, and site visit to the affected area together with the specialists. The representatives of PMU and Ward/Commune PCs will also be invited to participate.

❖ Methodologies

83. The resettlement plan applied to components involved in land acquisition and site clearance by the project is developed based on the experience from Resettlement Plan and Resettlement Policy Framework that was cleared for the MCDP project. The methodologies applied in the process of preparing Resettlement Plan include:

Desk review

Consultant collected, reviewed, studied and analyzed/assessed the documents relating to compensation, assistance and resettlement of Project. Those documents were collected from the PMU, PCs of project wards/communes, including: (i) Project documents (Statement and Design Drawings of project components; Resettlement Policy Framework, etc.) and Memorandums of Understanding provided by the PMU; (ii) Cadastral maps, copies of maps

and Socio-economic reports provided by commune/ward PCs; (iii) relevant policies of the World Bank, the Government of Vietnam and Ha Nam PPC to (1) find out procedures, regulations proposed and approved from the project documents, (2) find out technical methods proposed for each Project component; (3) review socio – economic reports of localities, (4) propose mitigation measures and guidelines for follow-up actions.

Qualitative method

- Consultation and discussion with various stakeholders, including the implementation agencies, social organizations, representatives of leaders of local authorities through consultation meetings, in-depth interviews and group discussions. The minutes of working is attached to this report in Appendix 02.
- Focus group discussions, in-depth interviews with targeted affected households, such as severely affected households, relocated households and vulnerable households. The minutes of working is attached to this report in Appendix 02.
- Site visit to resettlement sites and areas belonging to the research scope of the project to determine the potential impacts on local residents during the project implementation.

Quantitative method

- From August 5, 2016 to August 15, 2016, the Resettlement Consultant Team conducted socio-economic survey¹ and affected lands/assets in these communes/wards: Phu Van commune, Liem Tuyen commune, Liem Chinh ward, Lam Ha ward, Hai Ba Trung ward, Luong Khanh Thien ward, Minh Khai ward, Quang Trung ward in Phu Ly city.
- Socio – economic survey by questionnaire: Survey was carried out 100% with: (i) severely affected household (households losing 20% or more of the total agricultural land area; households affected on income); (ii) The relocated households (iii) households falling into vulnerable groups (women-headed households, poor households and households with alone elderly, etc.). Moreover, the Consultant also conducted a survey for over 20% of total marginally affected households. Total households were engaged in questionnaire-based survey in the project area are 182/378 affected households. List of surveyed households is shown in Appendix 03 of this report.
- The Inventory of Losses (IOL) is carried out with 100% affected households.

84. Entering and processing data. Information collected from the field monitoring will be processed by specialized software such as SPSS (Quantitative) and NVIVO (Qualitative).

¹ Using the socio-economic survey by questionnaire for the MCDP – Phu Ly city subproject

4.2.2. Results of socio-economic survey of affected households in project area

4.2.2.1. Survey scale

85. Regarding the impacts of land acquisition by the subproject, the survey results showed that the implementation of the subproject will affect 278 households, including 230 directly affected households and 48 indirectly affected households due to cultivation on land managed by the Commune/Ward People's Committees. Besides, the implementation of the project will also affect the land owned by 4 People's Committees of wards/communes and 2 organizations (Trieu Xa pumping station in Liem Tuyen commune and Dinh Trang pumping station in Lam Ha ward).

86. Thus, in the period from 5th to 15th of August, 2015, Resettlement Consulting Team has conducted a socio-economic survey on 182 out of total 278 affected households by the project (accounting for 65% of total number of affected households). Specific figures on the survey scale of each item of the project are detailed in the following table:

Table 4.1: Scale of socio-economic survey in the project area

No.	Item	Commune/ward	Total affected HHs	Number of surveyed HHs				
				Number of relocated HHs	Number of vulnerable HHs	Number of HHs losing 20% or more of agricultural land	Directly business - affected HHs	Marginally affected HHs
1	Component 1: Basic infrastructure upgrade and service improvement		34	5	6	6	0	4
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	Quang Trung ward	12	5	2	0	0	2
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	Phu Van commune	22	0	4	6	0	2
2	Component 2: Environmental sanitation improvement		174	32	21	33	0	30
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	Lam Ha ward	58	21	5	15	0	10
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward Liem Tuyen commune	116	11	16	18	0	20
3	Component 3: Urban roads and bridges		70	16	8	6	28	2
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie –	Liem Chinh ward	70	16	8	6	28	2

No.	Item	Commune/ ward	Total affected HHs	Number of surveyed HHs				
				Number of relocate d HHs	Number of vulnerabl e HHs	Number of HHs losing 20% or more of agricultu ral land	Directly business - affected HHs	Margi nally affecte d HHs
	Ninh Binh expressway	Liem Tuyen commune						
	Total		278	53	35	45	28	36

Source: Resettlement Survey, August 2016

(Remark: Some affected households might be both affected on business and also have to relocate and/or fall into vulnerable group)

87. Out of 182/278 surveyed HHs, there are 98 severely affected HHs (53 HHs lose residential land and houses and have to relocate; 45 HHs lose 20% or more (10% or more for vulnerable people) of their total agricultural land); 35 HHs fall into vulnerable group, 28 HHs are directly business affected due to land acquisition (These HHs are mostly belonging to the Component - Upgrading Tran Hung Dao Road – the Section from Liem Chinh Bridge to Cau Gie – Ninh Binh expressway), and 36/121HHs are marginally affected in the project area. Surveyed HHs are typical HHs/groups which are characterized by survey sample.

88. The selection of households for the socio-economic survey is based on the impact scope of land acquisition, loss of agricultural land, residential land, resettlement and permanently affected business households. Beside the consultation meetings with local authorities, the consultant has conducted the socio-economic survey for about 65% of the affected households and conducted public consultations with all affected households in all components of the project.

4.2.2.2. Demographic characteristics of households

89. According to the survey data on 182 directly affected households (partly or totally) under the project components, the majority of households have 3-5 people, accounting for 62.3%, followed by households with 6-9 people, accounting for 23.7% and households with 1-2 people account for only 14%. On average, each affected household in the project area has 4.1 people/ household and the average number of main employees per household is 2.2 people. All affected households are Kinh people without the presence of any ethnic minority in the project area.

4.2.2.3. Education level

90. The survey data on 182 directly affected households (partly or totally) in the project area showed that most of household heads have relatively high education level: 45.1% graduated from high school; 34.6% graduated from secondary school and 8.2% graduated from college/ university and higher educational level. The percentage of illiteracy/not attending school is 2.2%.

Table 4.2: Educational level of household heads

No.	Educational level	Quantity (person)	Rate (%)
1	Illiteracy	4	2.2
2	Graduate from primary school	18	9.9
3	Graduate from secondary school	63	34.6
4	Graduate from high school	82	45.1
5	College/University	13	7.1
6	Post-university education	2	1.1
	Total	182	100

Source: Resettlement Survey, August 2016

4.2.2.4. Occupation of household heads

91. According to the survey results, out of 182 affected households, there are 98 household heads (53.8%) doing agriculture (cultivation and breeding), 14 affected households (accounting for 7.7%) have household heads working as public servants. In addition, some household heads are working as employees, workers, etc. and only 1% of all surveyed household heads are unemployed. 41 HHs whose household heads are businessmen/traders (accounting for 22.5%), 28 of which are directly business affected due to land acquisition for the item - Upgrading Tran Hung Dao Road – the Section from Liem Chinh Bridge to Cau Gie – Ninh Binh expressway.

92. Generally, the occupations of household heads are differentiated by each items of the project. With items such as Upgrading Lam Ha 1 regulation lake, Construction of Phu Van kindergarten in Phu Van commune, Construction of the Chau Giang river southern embankment, the main occupation of affected households is agriculture, meanwhile in the item of upgrading Tran Hung Dao road, the household heads are mainly doing business because of this convenient location. Most households are business HHs: 8 HHs own groceries; 6 HHs repair motorbikes; 1 HH sells gasoline; 3 HHs own hostels; and 1 HH provide food and beverage services.

Resettlement Plan*Table 4.3: Occupations of surveyed household heads by project items*

No.	Item	Officials		Trade/service		Agriculture		Employed		Unemployed		Others		Total	
		No. of HHs	Rate (%)	No. of HHs	Rate (%)	No. of HHs	Rate (%)	No. of HHs	Rate (%)	No. of HHs	Rate (%)	No. of HHs	Rate (%)	No. of HHs	Rate (%)
1	Component 1: Basic infrastructure upgrade and service improvement														
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	0	0%	2	22.2%	5	55.6%	2	22.2%	0	0%	0	0%	9	100%
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	0	0%	2	16.7%	10	83.3%	0	0%	0	0%	0	0%	12	100%
2	Component 2: Environmental sanitation improvement														
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	4	7.8%	5	9.8%	37	72.5%	3	5.9%	0	0%	2	3.9%	51	100%
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	7	10.8%	4	6.2%	43	66.2%	2	3.1%	2	3%	7	10.8%	65	100%
3	Component 3: Urban roads and bridges														
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	3	6.7%	28	62.2%	3	6.7%	7	15.6%	0	0%	4	8.9%	45	100%
	Total	14	7.7%	41	22.5%	98	53.8%	14	7.7%	2	1%	13	7.1%	182	100%

Source: Resettlement Survey, August 2016

93. For 98 households who are severely affected by land acquisition due to additional credit loans of the projects (of which 53 lose their residential land and houses and have to relocate; 45 households lose 20% or more (or 10% or more for vulnerable people) of total agricultural land); 58% households are farmers; 35% households do business; and 7% remaining do other industries.

Income level:

94. According to the socio-economic survey results for the affected households, most of the affected households belong to the low income group of 1-2 million VND/person/month (accounting for 59.3 %). It is followed by the income level of over 2 million VND/person/month (25.8%); the percentage of households with incomes below 1.3 million VND/person/month accounts for 14.9%, those are the poor, near-poor and single-elderly households.

The survey results also showed that the average income of the affected households in the project area is about 59.5 million dong/household/year. According to the average households size of 4.1 people/household, the average income of each person is approximately 1,200,000 VND/month or higher. However, this income also has a significant gap among the project areas. The figures are detailed in the table below:

Table 4.4: Average income/person/month

No.	Item	Less than 900,000 dong	900.000 – 1.3 million dong	1.3 - 2 million dong	More than 2 million dong	Total
1	Component 1: Basic infrastructure upgrade and service improvement					
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	1	1	5	2	9
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	1	2	7	2	12
2	Component 2: Environmental sanitation improvement					
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	3	4	34	10	51
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	5	5	41	14	65
3	Component 3: Urban roads and bridges					
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	3	2	21	19	45
	Total	13	14	108	47	182
	Rate (%)	7.1	7.8	59.3	25.8	100

Source: Resettlement Survey, August 2016

Expenditure:

According to the survey results, the highest expenditure of households ranges from 40-60 million VND/HH/year (accounting for 49.5%); it is followed by the expenditure of over 60 million VND/HH/year (accounting for 26.4%); the expenditure of 20-40 million dong/HH/year accounts for 19.8%, only 4.4% of households have expenditure less than 20 million VND/HH/year. With current situation of income and expenditure, most of the surveyed households said they have no savings.

4.2.2.5. *Living standards and living facilities of households*

- **Living standards:** Based on the poverty rate under the MOLISA² standard: accordingly, the poor households in urban areas are those who meet either of the criteria which are (i) the monthly per capita income of 900,000 dong or below; or (ii) the monthly per capita income of between over 900,000 dong and 1.3 million dong and deprived of 03 or more indicators measuring deprivation of access to basic social services. The near-poor households in urban areas are those who have monthly per capita income of between over 900,000 dong and 1.3 million dong and is deprived of less than 3 indicators measuring deprivation of access to basic social services; Their average income is between over 1,300,000 and 1,950,000 dong/person/month; Well-off households (including well-off and rich households) have income of above 1,950,000 dong/person/month. According to this criterion, out of total 182 surveyed households, there are 108 households (59.3%) belonging to the average income group, 47 households (25.8%) belonging to well-off and rich group, 27 poor and near-poor households need to be assisted with food. The self-assessment results of economic conditions of the surveyed households showed that 110 households (60.4%) self-assessed they have average income; 43 households (23.6%) self-assessed they have well-off income and 29 households (15.9%) self-assessed as poor and near-poor households.
- **Living facilities:** The value of assets in each household depends much on their economic conditions. For assets which are the essential items and the less valuable assets are commonly seen in the households with medium living standard, whereas the households of the well-off group usually use the valuable assets. Colorful television can be seen as the common mass media. There are up to 100% of households owning bicycles, 98.9% owning motorcycles; 79.7% owning refrigerators, etc. The status of using household utensils is detailed in the table below:

²According to Decision No. 59/2015/QĐ-TTg, dated 19/11/2015, promulgating multidimensional poverty levels applicable during 2016-2020.

Table 4.5: Living facilities of household

No.	Living facilities	Number of HHs	Rate %
1	Luxury wooden furniture	57	31.3
2	Motorbike	130	71.4
3	Bicycle	182	100
4	Radio	12	6.6
5	Color television	180	98.9
6	Refrigerator	145	79.7
7	Washing machine	58	31.9
8	Telephone	179	98.4
9	Air conditioner	55	30.2
10	Car	14	7.7

Source: Resettlement Survey, August 2016

4.2.2.6. Vulnerable households

95. The results of the questionnaire-based survey and consultations with local authorities in the project area showed that, there are 278 affected households, of which 5 single women-headed households with dependents; 6 single elderly households; 11 social policy households. There are 13 affected poor households (with certificates). The information on vulnerable households in the project area is shown in the table below:

Resettlement Plan*Table 4.6: Information about vulnerable households in the project area*

No.	Item	Commune/ward	Number of vulnerable HHs				Total
			Poor HHs	Social Policy households	Single- elderly households	Women-headed HHs	
1	Component 1: Basic infrastructure upgrade and service improvement		2	2	2	0	6
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	Quang Trung ward	1	1	-	-	2
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	Phu Van commune	1	1	2	-	4
2	Component 2: Environmental sanitation improvement		8	6	4	3	21
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	Lam Ha ward	3	2	-	-	5
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward Liem Tuyen commune	5	4	4	3	16
3	Component 3: Urban roads and bridges		3	3	-	2	8

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No.	Item	Commune/ward	Number of vulnerable HHs				Total
			Poor HHs	Social Policy households	Single- elderly households	Women-headed HHs	
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie-Ninh Binh expressway	Liem Chinh ward Liem Tuyen commune	3	3		2	8
	Total		13	11	6	5	35

Source: Resettlement Survey, August 2016

Table 4.7: Vulnerable households affected in the project area

No	Items	Commune/ward	Heavy affected		Margin ally affected	Total
			Lost over 10% of total agricultural land area	Relocation and resettlement		
1	Component 1: Basic infrastructure upgrade and service improvement		2	0	4	6
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	Quang Trung ward	0	0	2	2
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	Phu Van commune	2	0	2	4
2	Component 2: Environmental sanitation improvements		6	5	10	21
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	Lam Ha ward	2	3	0	5
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward Liem Tuyen commune	4	2	10	16
3	Component 3: Urban roads and bridges		0	2	6	8
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie-Ninh Binh expressway	Liem Chinh ward Liem Tuyen commune	0	2	6	8
	Total		8	7	20	35

4.2.2.7. Land use rights

96. Through the survey of land use right certificates (LURC) or land and housing use right certificates, 83.4% of households had LURCs and the remaining 9.4% is completing procedures to apply for LURCs; 7.2% is leasing the land of the local People's Committee for cultivating.

4.2.2.8. *Utilities and services*

97. **Electricity:** As a result of consultations, 100% of the surveyed households use the national power grid with separate meters, the average electrical expenditure of each household is about 212,000 dong/month.

98. **Using water for domestic and production demands:** There is no longer the case using water from ponds, rivers and lakes for their daily living activities in the project area. There are three main sources being used by households including tap water (accounting for 41.3%), dug well water (accounting for 8.5%) and drilling well water (accounting for 27.8%) and rain water (accounting for 22.4%).

99. **Toilets:** 100% of households have hygienic toilets. The majority of households have used composting toilets, which accounts for about 67.6%; a proportion of 33.4% of households are using double-vault toilets. There are not any households using public toilet or having no toilet.

100. **Waste collection:** Currently, 100% of communes, wards in the project area have formed a waste collection system, and this operation is implemented quite effectively with waste collection frequency of 1-3 times per day with the collection service tariff varying from 7,000 – 15,000 dong per month.

101. **Sanitation:** In assessing the pollution status, 66.7% of local residents said that their residences are being polluted and they are suffering from the flood situation, especially in rainy season due to the lack of drainage system or degraded drainage system which causes the stagnancy of wastewater.

4.2.2.9. *Health and education*

102. **Health:** in the surveyed area, many households said that they take medical examination every six months or once a year. In case of diseases, they usually get treatment at General Hospital of the Province (61.8%), self-buying medicine (38.2%). In addition, they also use other medical services such as health centers of district, clinics in wards, etc. Besides, under the program of the whole city, the population and family planning work in wards and communes is also implemented uniformly.

103. **Education:** In the project area, kindergartens and primary schools have been built. 100% of the households within the surveyed area have been popularized with primary education.

5. POLICY FRAMEWORK

5.1. Legal framework

104. In order to guide the implementation of involuntary resettlement, this section provides principles, objectives, and eligibility for DPs as well as benefits, institutional and legal frameworks for compensation and restoration measures based on the World Bank's OP/BP 4.12 Policy on Involuntary Resettlement (amended in May 2011) and Legal Framework of the GoV.

105. The Resettlement Plan was prepared on the basis of the Resettlement Policy Framework of the project in the preparation phase of Project Detailed Outline (PDO) and has been approved by the Prime Minister and obtained No-objection from Donor. Simultaneously, the Resettlement Plan will comply with the laws, circulars, decrees stipulating the land acquisition, compensation and resettlement in Vietnam, and the WB's policy on Involuntary Resettlement.

5.1.1. Legal framework of Government of Vietnam:

106. The Laws and Decrees with respect to land acquisition, compensation and resettlement in Vietnam are based on the regulations of the city/province at time of preparing RPF of the project, including:

- 1992 Constitution of the socialist public of Vietnam certifying and protecting the citizens' housing ownership.
- Land Law 2003 passed by National Congress on 26th November 2003.
- Decree No. 181/2004/NĐ-CP dated 29th October 2004 of the GoV, guiding the implementation of Land Law.
- Decree No. 197/2004/NĐ-CP dated 3rd December 2004 of the GoV on compensation, assistance and resettlement when land is acquired by the State.
- Decree No. 188/2004/NĐ-CP dated 16th November 2004 of Government on methods of determining land prices and assorted-land price brackets.
- Circular No. 114/2004/TT-BTC dated 16th November 2004 of Ministry of Finance guiding the implementation of the Government's decree No 188/2004/NĐ-CP.
- Decree No. 17/2006/NĐ-CP dated 27th January 2006 of the GoV on amendments and supplements to some articles of Decree guiding the implementation of Land Law.
- Decree No. 84/2007/NĐ-CP issued on 25th May 2007 of the GoV on supplementary regulations on issuing land use right certificate, orders and procedures for compensation, assistance and resettlement when the State acquires land and settling complaints on land.

- Decree No. 123/2007/NĐ-CP dated 27th July 2007 amending and supplementing a number of articles of Decree No. 188/2004/ND-CP dated 16th November 2004 on methods of determining land prices and assorted-land price.
- Decree No.69/2009/ND-CP dated 13 August 2009 of the GoV, regulating additional planning of land use, land prices, land acquisition, compensation, assistance and resettlement
- Circular 14/2009/TT-BTNMT dated 01st October 2009 of the Ministry of Natural Resources and Environment on detailing the compensation, assistance and resettlement and order of and procedures for land recovery, allocation, land lease.
- Decree No. 30/2009/QĐ-UBND dated 26th October 2009 of Ha Nam People's Committee issue on promulgating some contents on compensation, assistance and resettlement when the State acquires land in Ha Nam province.
- Decree No. 36/2009/QĐ-UBND dated 21st December 2009 of Ha Nam People's Committee issue on promulgating land prices in Ha Nam province in 2010.
- Decree No. 03/2010/QĐ-UBND dated 18th January 2010 of Ha Nam People's Committee on promulgating the compensation rate for house, structures and removal graves when the State recovers land.
- Decree No. 04/2010/QĐ-UBND dated 19th January 2010 of Ha Nam People's Committee on promulgating the compensation rate for trees, animal when the State recovers land.

107. Currently, a number of policies, such as the Land Law and the regulation policy on compensation, assistance and resettlement of the Government of Vietnam has been changed as:

- Constitution of the Socialist Republic of Vietnam adopted on November 28, 2013.
- Land Law No. 45/2013/QH13 dated November 29, 2013 of the National Assembly on Land (effective on July 1, 2014).
- Decree No. 43/2014/ND-CP dated May 15, 2014 of the GoV on detailing a number of articles of the Land Law.
- Decree No. 44/2014/ND-CP dated May 15, 2014 of the GoV on land prices.
- Decree No. 47/2014/ND-CP dated May 15, 2014 of the GoV on compensation, assistance and resettlement upon land acquisition by the State.
- Circular No.36/2014TT-BTNMT of the MONRE dated 30 June 2014 detailing the methods for land pricing, adjustment to land price brackets and land price lists, specific land pricing and provision of consultancy on land
- Circular No.37/2014/TT-BTNMT the MONRE dated June 30, 2014 on compensation, assistance and resettlement upon land acquisition by the State;

- Circular No.76/2014/TT-BTC dated 16th June 2014 of the MOF providing guidance on the implementation of some articles of Decree 45/2014/ND-CP, promulgating regulations on the collection of land use fee;

108. Decisions of Ha Nam provinces relating to compensation, assistance and resettlement in provincial territory will be also applied specifically:

- Decision No.38/ 2014/QD-UBND dated September 12, 2014 on issuing regulations on compensation, assistance and resettlement upon land acquisition by the State in Ha Nam province.
- Decree No. 06/2016/QD-UBND dated 14th April 2016 issue on supplementing some contents of compensation, assistance and resettlement when the State acquires land in Ha Nam province, attached with Decision No. 38/2014/ QD-UBND dated 12nd September 2014 of the provincial People's Committee.
- Decision No.41/2014/QD-UBND issuing on the management of resettlement land.
- Decision No.39/2014/QD-UBND dated September 12, 2014 issuing regulations on quota for allocation, recognition of residential land; The minimum area to be split or consolidated of land in Ha Nam province.
- Decision No.50/2014/QD-UBND dated December 19, 2014 issuing on list of land prices on Ha Nam province
- Decision No.49/2014/QD-UBND dated November 20, 2014 issuing on Compensation rates for crops, livestock upon land acquisition by the State.
- Decree No. 32/2015 QD-UBND dated 24th December 2015 promulgating the compensation rate for house, structures and removal graves upon land acquisition by the State in Ha Nam province in 2016.

109. The changes in policy on compensation, assistance and resettlement of the project will need agreement between the City and the World Bank. Up to now, the new Land Law 2013 has taken effect, however, the resettlement plan still complied with the approved Resettlement Policy Framework for the project, a number of provisions updated under the new laws and policies already in effect and/ or adjusted upon specific requirements from the Donor and the Government of Vietnam.

5.1.2. World Bank Policy on Involuntary Resettlement (OP 4.12)

110. 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.

111. *Objectives of the WB's policy on involuntary resettlement are the following:*

- (i) Involuntary resettlement should be avoided where feasible or minimized by all viable alternative project designs and selection of location where land acquisition is unavoidable but impacts are minimized;
- (ii) Wherever involuntary resettlement is unavoidable, resettlement activities should be conceived of and executed as sustainable development programs, providing sufficient investment sources to enable affected persons to share project's benefits;
- (iii) Directly or indirectly affected persons must be consulted and participated in the process of planning and implementing resettlement programs;
- (iv) Affected Persons should be assisted in efforts to improve their livelihoods and living standards 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.

112. *Required measures:* To resolve project impacts, the Project Owner prepared a Resettlement Plan that includes measures to ensure that affected persons are:

- (a) Informed of their options and entitlements to resettlement;
- (b) Consulted on the offered choices and provided with technically and economically feasible resettlement alternatives; and
- (c) Provided with prompt and effective compensation at replacement cost for lost assets attributable directly to the project.

5.1.3. Comparison between GoV and WB approaches

113. 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 5.1: Comparison of GoV's and WB's policies on compensation, assistance and resettlement and proposed policies for Phu Ly city sub-project

Subjects	World Bank's OP 4.12	Government of Vietnam	Approach/Project Measures
Land Property			
Objectives	PAPs (Project 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	<p>Not mentioned.</p> <p>However, there is a provision of support to be considered by PPC to ensure they have a place to live, to stabilize their living and production. (Article 25 of Decree 47).</p> <p>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)</p>	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 implementation, whichever is higher.

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Subjects	World Bank's OP 4.12	Government of Vietnam	Approach/Project Measures
Support for affected households who have no recognizable legal right or claim to the land they are occupying	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.	Only agricultural land used before July 1, 2004 is eligible for compensation. Other cases will be assisted at 60% of replacement cost
Compensation for illegal structures	Compensation at full cost for all structures regardless of legal status of the PAP's land and structure	PPC considers the Article 25, Decree 47.	Compensation at full replacement cost will be given for all structures affected, regardless of legal status of the land and structures
Compensation and supports			
Methods for determining compensation rates	Compensation for lost land and other assets should be paid at full replacement costs.	Compensation for lost assets is calculated at price close to transferring the assets in local markets or the cost of newly-built structures. Provincial People's Committees are granted to identify Compensation rates 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, etc.	Independent appraiser identifies replacement costs for all types of affected land, which are appraised by land appraisal board and approved by Provincial People's Committees to ensure full replacement costs.

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Subjects	World Bank's OP 4.12	Government of Vietnam	Approach/Project Measures
Compensation for loss of income sources or means of livelihood	Loss of income sources should be compensated (whether or not the affected persons must move to another location)	In article 88 of the Land Law 2013, only support for registered business households losing income. In addition, income restoration measures will also be provided (Article 19, 20, 21, Decree 47)	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.
Compensation for indirect impact caused by land or structures taking	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.	The provision of Article 88, Land Law 2013; Article 19,20,21,22,23,24,25 of Decree 47.	Social assessment has been undertaken and measures identified and being implemented to minimize and mitigate adverse impacts, particularly upon poor and vulnerable groups.
Livelihood restoration and assistance	Provision of livelihood restoration and assistance to achieve the policy objectives	Livelihood restoration and assistance measures are provided (Article 19,20, 21, 22, 23, 24, 25 of Decree 47) 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 RP

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Public consultation and information disclosure			
	<p>Participation in planning and implementation, specially confirming the eligibility criteria</p> <p>for compensation and assistance, and access to Grievances Redress Mechanisms</p>	<p>Focus mostly on consultation during planning (consultation on draft plan of compensation, assistance and resettlement and plan for training, career change and facilitating job searching); information sharing and disclosure.</p>	<p>Consultation and participation incorporated into RP design, along with information sharing with PAPs and stakeholders.</p>
Grievance redress mechanism			
	<p>Grievance redress mechanism should be independent.</p>	<p>The same governmental body makes decisions on compensation and resettlement, and also handles grievances at the first step.</p> <p>However, complainants can go to court at any steps as PAP wishes.</p>	<p>More effective Grievance and Redress mechanisms are to be established, built on the existing governmental system, with monitoring by an independent monitor.</p>

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Monitoring & Evaluation			
	Internal and independent monitoring are required	<p>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, assistance and resettlement (Article 199, Land Law 2013).</p> <p>There are no explicit requirements on monitoring of the resettlement works, including both internal and independent (external) monitoring.</p>	<p>Both internal and external (independent) monitoring is to be regularly maintained (on a monthly basis for internal and biannual basis for independent monitoring).</p> <p>An end-of-project report will be done to assess compliance of the policies set forth in RP and to confirm whether the objectives of OP 4.12 have been achieved or not.</p>

114. Vietnam is a country member of the World Bank, the Government of Vietnam has committed that should the international agreements signed or acceded to by Vietnam and the World Bank contains provisions different from those in the existing resettlement legal framework in Vietnam, the provisions of the international agreements with World Bank shall prevail. According to Clause 2, Article 87 of the Land Law 2013: "For projects using loans from international or foreign organizations for which Vietnam has committed to a policy framework for compensation, assistance and resettlement that framework policy shall prevail." The waiver provisions were pre-described in Article 46, paragraph 1 of the Decree No. 38/2013/ND-CP.

115. Resettlement policy framework confirms that in approving this instrument, the Government of Vietnam and Ha Nam Provincial People's Committee grant the waivers to the relevant provisions of the Vietnam law that contradict or are not consistent with the objectives set forth in the Resettlement Policy Framework. The measures taken to resolve these differences and compliance with the WB's policy on involuntary resettlement are addressed under RPF and applied to this RP.

5.2. Principles and policies for compensation, assistance and resettlement

5.2.1. General principles

116. All projects affected persons (PAPs) who have assets within or reside within the area of project land-take before the cut-off date are entitled to compensation for their losses. Those who have lost their income and/or Subsistence will be eligible for livelihood rehabilitation assistance based on the criteria of eligibility defined by the project in consultation with the PAPs. If, by the end of the project, livelihoods have been shown not to be restored to pre-project levels, additional measures will be provided.

- (a) The compensation rates will be determined timely and in consultation based on independent land valuation results of the Independent Valuation Unit hired by PMU. Compensation rates for trees/crops/non-land assets will be applied as those issued annually by Ha Nam PPC based on market price survey results of Ha Nam Department of Construction. The independent monitoring agency (IMA) will assess relevance of these compensation rates.
- (b) All fees and taxes related to transferring land and/or housing and fee for receiving land use right certificate will be exempted for the relocated HHs who already paid fee before for receiving land use right certificate. The local authorities will ensure that APs who will be arranged relocation on their own, will also be exempted from transaction fees like the ones who will move to the project resettlement sites.
- (c) Compensation by value of land use right, at full replacement cost.
- (d) For HHs who have to relocate, if they desire to be allocated with Resettlement land, they will be allocated with land in the resettlement site. The resettlement site will be planned properly and implemented in consultation with the PAPs. All basic infrastructures, such as paved roads, sidewalks, drainage, water supply, and electricity and telephone lines, will be provided.
- (e) For HHs who have to relocate, if they don't want to be allocated with land in the resettlement site, then beside compensation, support payments, they will also be allocated with an additional support amount equivalent to the minimum infrastructure investment rate in accordance with relevant local regulations.
- (f) 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).

- (g) The PAPs will be provided with full assistance (including a transportation allowance) for transportation of personal belongings and assets, in addition to the compensation at replacement cost of their houses, land and other properties.
- (h) Compensation and restoration assistance must be provided to each AP at least 30 days prior to occupying the assets for those who have not to relocate and 60 days for those who have to relocate. Exceptions should be made in the case of vulnerable groups who may need more time.
- (i) If, by the end of the project, livelihoods have been shown not to be restored to pre-project levels, additional measures will be provided.
- (j) Financial services (such as loans or credit) will be provided to PAPs if needed. The amount will be paid per period and method of repayment will have to under the ability to pay of PAPs.
- (k) Additional efforts, such as economic rehabilitation assistance, training and other forms of assistance, should be provided to PAPs losing income sources, especially to vulnerable groups, in order to enhance their future prospects toward livelihood restoration and improvement.
- (l) The services and resources to serve the community in the resettlement site will be maintained or improved more than before relocation.

5.2.2. Eligibility for compensation and assistance

117. The eligibility for entitlement to compensation is determined by asset ownership criteria:

- (i) Those who have formal legal rights to land (including customary and traditional rights recognized under the laws of the country. In the consideration, it is also useful to document how long they have been using the land or the assets associated with it);
- (ii) Those who do not have formal legal rights to land at the time the census begins but have a claim to such land or assets provided that such claims are recognized under the laws of the country or become recognized through a process identified in the resettlement plan;
- (iii) Those who have no recognizable legal right or claim to the land they are occupying.

118. Persons covered under (i) and (ii) are provided compensation for the land they lose, and other assistance. Persons covered under (iii) are provided with resettlement assistance in lieu of compensation for the land they occupy, and other assistance, as necessary, to achieve the objectives set out in this policy, if they occupy the project area prior to a cut-off date established by the borrower and acceptable to the Bank. Persons who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance. All persons

included in (i), (ii), or (iii) are provided with compensation for loss of non-land assets that they are using or owning.

119. A cut-off-date means the date of the project announcement publicly. Displaced Persons and local communities will be informed of the cut-off date for each investment, and that anyone moving into the Project investment areas after that date will not be entitled to compensation and assistance under the Project.

5.2.3. Determine the damage value and compensation for damages

120. Methods used to determine the damage value in projects funded by the World Bank is based on replacement cost. In this project, the damages include the loss of land, the buildings and other assets. Replacement cost of land includes the land value is determined by the market price plus transaction costs, including the cost to get the certificate of land use rights.

121. For housing and other construction works, the value is determined by the market price of building materials to build a replacement house with area and quality at least equal to the pre-project one. For these partially or totally affected works, the compensation values include market prices of building materials plus the cost of transporting materials, labor costs and contractor fees, registration fees and transfer tax. There will be no deduction of depreciation of assets and salvage materials, which affected households can take advantage to re-use them.

122. In the implementation phase, the land independent valuation organization/ specialist will be hired to investigate and propose the replacement cost for all type of affected land (both agricultural and residential); the results will be the basis for Ha Nam Province People's Committee to have decision on compensation rates, support to reflects the replacement cost.

5.3. Entitlements

123. Affected persons will be entitled to the compensation, assistance and resettlement policy (if any) in accordance with the regulations of Vietnam and the World Bank OP 4.12. Affected persons will not be considered for compensation or support from the project for the area to be occupied after the cut-off date announcement.

Compensation policies of project are as below:

5.3.1. Compensation policy for agriculture land

124. Agricultural land fund of the communes/wards of Phu Ly City are currently unavailable. Therefore the city has no land left for compensation by "land for land" principle. So the agricultural land-affected HHs will be compensated in cash. Households affected on agricultural land will receive compensation and assistance as follows:

Land users with legal or legalized land use rights:

- (i) Cash compensation for the lost land and crops on the acquired land, at full replacement cost (100%) , and
- (ii) For agricultural land in residential area, garden-pond land on the same land area with house: Beside compensation at replacement costs for agricultural land/or perennial crop land, they will be supported 50% of price of adjacent residential land with the same location.

Users with temporary or leased rights to use land:

- (i) If the portion of the land to be lost represents 20% or less of the total area of the land currently used by the DPs, they will be compensated at the amount corresponding to the remained investment in the land or 30% of land replacement cost.
- (ii) If more than 20% of the land area currently used by the DPs is acquired, then the priority to compensate by other land of temporary use rights, or, in request of DPs or if there no available land to provide ‘land for land’, the cash compensation will be applied at the amount corresponding to the remained investment in the land or 30% of land replacement cost.

125. If the value of remained land investment is greater than 30% of replacement cost of land, the Resettlement Committee will review the case by case and adjust accordingly.

Land users without recognized rights to use land

- (i) In lieu of compensation for land, the DPs will receive assistance corresponding 60% of land replacement cost.
- (ii) For poor and vulnerable farmers, including landless, as priority, allocation of agricultural land equal per capita agricultural land in commune as regulated, or, if there is no land available for allocation or, on the DPs’ request as informed choice, in addition to above, a package of vocational training and job creation will be two times in minimum of agricultural land price for the whole acquired area (the land for annual tree only); and in case, households need a vocational training, they will be admitted to a vocational center in the province and are exempted from tuition fees for such training course (including level of primary, secondary training and vocational college) for those in the working age (not applicable for those who enroll for a vocational training outside the province).

126. In case when the affected persons utilize the public land (of Right of way or in protection areas of hydraulic works), that subjects to be acquired under the project, with conditions to return, on request, the land to the Government, they (DPs) will not be compensated for this public land, but will be compensated for crops and trees at 100% market price.

127. DPs will be compensated for the loss of standing crops and fruit or industrial trees at market price. Productive trees will be compensated at replacement cost.

5.3.2. Compensation policies for residential land

128. Users who affected with residential land will be compensated as follows:

DPs losing residential land without structures built: (i) Compensation for loss of land in cash at 100% replacement cost to the legal and legalizable land users (ii) support by cash equivalent to the remaining values invested in such lands, or equivalent to 50% of replacement cost of land to the users having illegal land use rights

DPs losing residential land with structures built on land and the remaining land is sufficient to rebuild structure (re-arrangement DP): The general policy for the compensation of the damaged land was in cash as follows: Compensation for land acquisition in cash (i) at 100% replacement cost to the legal land users; (ii) the amount corresponding the remained investment value on land to the users having illegal land use rights, equivalent to 50% of replacement cost.

- a. Compensation for affected structures at 100% replacement cost; and
- b. If house/structure is partially affected, house users will be compensated additional cost for repairing and restoring their structures as before or even better (similar to 20% of the total values of affected structures).

DPs losing residential land with structures built thereon and without remaining land sufficient to rebuild on (relocating DP): They are entitled to:

- (a) The land entitlements is as follows:
 - (i) The DPs, who have legal or legalizable rights to the affected land, can choose one of the followings:
 - To receive compensation payment at 100% of replacement cost and land allocated in resettlement site of project;
 - To receive 100% on replacement cost basis and an additional support money amount equivalent to the minimum infrastructure investment rate in accordance with relevant local regulations if they do not want to live at the resettlement site and want to find new place of residence themselves.
 - (ii) The DPs, who do not have legal or legalizable rights to the affected land, are entitled to the followings:
 - Regarding the DPs who already have residence somewhere else in the same ward/commune as where they are affected, the project will provide an assistance amount corresponding the remained investment on the land, or 50% of replacement cost of the affected land.

- DPs who do not have any land in the same ward/commune will be allocated with a minimum resettlement land plot in the resettlement site in addition to the above entitlement and they will have to pay for the land use fee; or supported with a basic infrastructure investment amount in addition to the above entitlement if they opt for self-relocation.
 - Poor HHs and those of vulnerable group who are not eligible for compensation of land and do not have any other place to reside will be considered for exemption of a part or entire of land use fee payment in accordance with relevant regulations of the province at the time of RP implementation.
- (b) Compensation for affected structures at 100% replacement cost.

5.3.3. Compensation policies for the Losses of structures, houses

129. Compensation policies for the losses of structures, houses are as follow:

For affected houses and structures:

130. Those whose structures are affected will be entitled to the following:
- (i) Compensation in cash for all affected structures will be provided at 100% replacement cost for materials and labour, regardless of whether or not they have title to the affected land or permit to build the affected structure. The amount will be sufficient to rebuild a structure the same as the former one at current replacement costs.
 - (ii) If house/structure is partially affected, the project will provide a house/structure repairing cost, in addition, to DPs to restore it to former or better conditions similar to 20% of the total values of affected structures.
 - (iii) Compensation and assistance will be provided in the form of cash. No deductions will be made for depreciation or salvageable materials.
 - (iv) The calculation of rates will be based on the actual affected area and not the useable area.

For affected graves:

131. The compensation rate for relocation of graves will cover all costs of exhuming, relocation, reburial, spiritual performance and other related costs. Compensation amount will be paid to each affected household. Results of consultation with the local government and HHs having affected graves show that these HHs agreed with the project implementation and the compensation plans to displace the graves in accordance with relevant legal regulations. Time for relocation of affected graves will be agreed in local customs and faiths appropriate manner as well as suitably with the project progress. The CPC also arrange new location in the City People's Cemetery for gathering and burying graves.

5.3.4. Compensation policies for crops and trees

132. For annual and perennial standing crops, regardless of the legal status of the land, compensation will be paid to households who cultivate the land, according to the full replacement cost of the affected crops and/or at replacement cost for affected perennial trees.

5.3.5. Compensation policies for income and production/business assets

133. For DPs losing income and/or business/productive assets as a result of land acquisition, the mechanism for compensating will be:

- (i) Cash compensation for the loss of income during the transition period, equivalent average monthly net income at least for six months for those with business registration and three months for unregistered business households.
- (ii) If business or productive assets are affected, cash compensation for lost business structure/assets reflecting their full replacement cost, without depreciation.
- (iii) If the business has to relocate, then, a provision of alternative business site of equal size and accessibility to customers, satisfactory to the DP, or, in cash for business affected area at replacement cost, plus transportation allowance to remove movable attached assets.

5.3.6. Compensation for temporary influences in construction process

134. For temporary affected land and assets, compensation for households will be:

For agricultural land that will be temporarily affected:

- (i) Compensation for one harvest of crops/trees at full replacement costs or replacement cost;
- (ii) Compensation for loss of net income from subsequent crops that cannot be planted for the duration of project temporary use;
- (iii) Restoration of land to its previous or better quality by providing measures to improve land quality in cases of land being adversely affected or acidified;
- (iv) If the duration of project's use the land exceed more than two years, then the DPs have option to: 1) Continue using land, or, 2) "Give it to the Project and be compensated as permanent loss

For temporary loss of residential land:

- (i) Compensation for all affected movable properties at full replacement cost
- (ii) Restoration of land to its previous or better quality.

For temporary impact on business:

- (i) Compensation for temporary loss of income, equivalent an average monthly net income at least for three months.

- (ii) Compensation for all affected movable properties at full replacement cost.
- (iii) Restoration of land to its previous or better quality.

For damages caused by contractors to private or public structures:

- (i) Damaged property will be restored by contractors immediately, after completion of civil works, to its former condition.
- (ii) Under their contract specifications, the contractors will be required to take extreme care to avoid damaging property during their construction activities. Where damages do occur, the contractor will be required to pay compensation immediately to affected families, groups, communities, or government agencies at the same compensation rates that shall be applied to all other assets affected by the Project. In addition, damaged property will be restored immediately to its former condition.

5.3.7. Compensation for the damages due to indirect impacts

135. This applies to those affected by development of individual resettlement or group resettlement sites. Because all secondary DPs are likely to be affected in similar ways as primary ones, they will be entitled to compensation and restoration support assistance in accordance with the same respective provisions for all other DPs.

5.3.8. Compensation for affected public structures

136. In the case of public infrastructure such as schools, bridges, factories, water, roads, electricity, water supply systems or sewage, etc. damaged, the City People's Committee, Project Management Unit will ensure that the infrastructures are restored or repaired, depending on the specific case, and communities do not pay for such costs. This cost includes the cost of construction.

5.3.9. Other transition allowances

137. For households affected on agricultural land, in addition to the compensation payments mentioned above, they will be provided with additional restoration allowances, including:

- (i) Subsistence allowance: 15,000 VND / m² of acquired land.
- (ii) Job changing and vocational training allowances: A minimum allowance level is 2 (two) times of the price of agricultural land for acquired agricultural land.
- (iii) In the case households have demands for vocational training, they will be involved in the provincial vocational training institutions and are exempted from tuition fees for a course of training (including the primary, intermediate and college levels) for the objects in the working age (not applicable to the objects who have demands for vocational training outside the province).

138. Vocational training allowances should be fully consulted with the eligible persons so that they will have the appropriate and effective means to restore the common production capacity and their income. Cash allowance should be combined with appropriate activities of agricultural extension to help the poor and disadvantaged farmers improve their production capacity.

139. For households affected on residential land, in addition to the compensation payments mentioned above, they will be provided with restoration allowances, including:

- (i) Relocation allowance: a) VND 10 million for households moving to a new place in the province; b) VND 15 million for households moving outside the province. For those not relocated but have to rebuild houses on the remaining area after acquisition, they will be supported at 50% of allowance level in point (a) above.
- (ii) House renting allowance while waiting for building a new house, allowance levels are as follows: a) 2,000,000 VND/household/month within 8 months for the wards/ towns; b) 1,500,000 VND/household/month within 8 months for the remaining regions. If after 8 months, the competent authorities do not arrange resettlement places for them, the City People's Committee will issue decisions on house renting allowance for the affected persons until they receive new resettlement land and provide house rental during the waiting time for construction of the new house.
- (iii) If the affected persons have to rebuild the main house (no need to relocate to new residence), they will receive 50% of allowance level as mentioned in point (ii) above.

140. Bonus for timely hand-over: For land users who obey to remove assets, crops and hand over they site on schedule to meet the Client's requirements for project implementation time, they will be provided with bonus, depending on the grades of structures, however, the bonus does not exceed 3,000,000 VND/HH.

141. Vulnerable groups: households and individuals whose land is acquired (including those households on public land, or leased land) are (i) poor households (defined according to the criteria of the Ministry of Labour, Invalids and Social Affairs), they will be supported 6,000,000 VND/household; (ii) social policy preferential households, households have denotations to the revolution, and those who fall into vulnerable group as identified through the process of socio-economic survey (if any) will be supported with an amount of 3,000,000 VND/HH.

5.3.10. Livelihood restoration methods

142. For households severely affected by the project, they will be participating in the project's program to support the livelihood restoration and ensure the compensation costs are calculated at replacement cost, according to each type of impact.

143. In addition, the severely affected households (or the poor and vulnerable households), in addition to compensation, support as outlined in the previous section, and at their request, will be

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involved in other supporting recovery program, such as loans, low-interest credit for vocational training and employment (Please refer to Chapter 7).

Table 5.2: *Entitlement matrix*

No.	Type of loss	Application	Definition of entitled person	entitlements	Implementation issues
1	Loss of land	Permanent loss of agricultural land	User with legal or legalizable rights to use the affected land	<p>DPs will be entitled to:</p> <p>(i) Compensation: The household will be compensated in cash for the value of land and crops of the acquired land area (100% replacement cost), and</p> <p>(ii) For agricultural land in residential area, garden/pond land of the same land plot with house on it: Beside replacement cost-based compensation for agricultural land/or perennial crop land, there's also support equal to 50% of the price of adjacent residential land of same location.</p>	<p>- If the remaining land is smaller than the minimum viable economic unit, then the entire piece of land would be acquired and the DPs would fall under the next category.</p>
			HHs not eligible for compensation for land losses	<p>(i) Instead of land compensation, the HH will receive a support equal to 60% of land replacement cost.</p> <p>(ii) For poor peasant HHs of vulnerable group, including those without land: The local government will give them priority support with provision of agricultural land in accordance with land concession rate regulations applied in the locality in accordance with Decree No. 64/1993/CP, or, if there's no land to allocate, or if it is the HH's choice, beside the supports mentioned above, a vocational and job training program will be provided equal to at least two (2) times of value of agricultural land of the entire acquired land area (only applied for annual crop land). In case the HH desires to participate in a vocational</p>	<p>In case the AH uses public land for cultivation, and now the Project needs to acquire this land, then the HH will not be compensated in terms of land, yet will be compensated for crop, tree losses on market price basis.</p> <p>Restoration assistance will be provided to poor or vulnerable HHs if compensation by "land for cash" option is applied.</p>

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No.	Type of loss	Application	Definition of entitled person	entitlements	Implementation issues
				training course, they can register to study at the province's vocational training center and will be exempted of study fee for this course (including primary, secondary and college levels) for people within labor age range (not applied for those who register to study outside of the province). (iii) Cash compensation for crop, tree losses on market Price basis	
		Temporary loss of agricultural land	Users of temporary land or leased land but have no long-term legal land use right (LUR)	(i) As priority, compensation "leased land for leased land" at location acceptable to DPs, or, if requested or there no reserved land to compensate "land for land", Cash compensation equal to remained investment put on the land or 30% of replacement cost; and, (ii) Cash compensation for loss of crops and trees at full replacement costs;	If the value of remained investment put by DPs on the affected land is undoubtedly higher than 30% of the land replacement cost, the PMU and resettlement sites will revise and adjust adequately by case.
2	Loss of residential land	Land acquired without structures built therein.	User of the affected land.	Cash compensation for land at (i) 100% of replacement cost of the land acquired to the legal/legalizable users; (ii) support by cash for value of investment in remaining land area or equal to 50% of replacement cost of that land area for user who does not have lawful land use right	
		Land acquired with structures built therein and the remaining land is sufficient to rebuild on	Households have to build houses on their remaining land.	General policy for residential land loss compensation is to compensate by cash: (i) Cash compensation for land at 100% of replacement cost of the land acquired to the legal/legalizable users; (ii) a	

Resettlement Plan

No.	Type of loss	Application	Definition of entitled person	entitlements	Implementation issues
				<p>support amount equal to value of the remaining land investment for HHs not eligible to for compensation by land, equal to 50% of replacement cost.</p> <p>a. Compensation for affected structures at 100% of replacement cost; and,</p> <p>b. If house/structure is partially affected, house users will be compensated additional cost for repairing and restoring their structures as before or even better (similar to 20% of the total values of affected structures).</p>	
		Land acquired with structures built therein and the remaining land is not sufficient to rebuild on.	Relocating DPs.	<p>(1) entitlements for residential land is as follows:</p> <p>(i) The DPs, who have legal or legalizable rights to the affected land, can opt to one of the followings:</p> <ul style="list-style-type: none"> - Compensated with 100% of replacement cost and allocated with residential land at the project's resettlement site; - Compensated with 100% of replacement cost and provided with an additional support amount equivalent to the minimum infrastructure investment rate in accordance with related local regulations if the HH does not want to live in the resettlement site and want to find new place to reside themselves. <p>(ii) The DPs, who do not have legal or legalizable rights to the affected land,</p>	;

Resettlement Plan

No.	Type of loss	Application	Definition of entitled person	entitlements	Implementation issues
				<p>are entitled to the followings:</p> <ul style="list-style-type: none"> - For HHs having other place(s) to reside in the same ward/commune with affected area, the Project will provide them with a support amount equal to the remaining in-land investment value, or equal to 50% of replacement cost of the land lot. - HHs not having land at the same ward/communes, in addition to the above support, will be allocated with a resettlement land plot or supported with a basic infrastructure investment rate if they want to relocate on their own. - Poor HHs and those in vulnerable group ineligible for compensation for land and not having any other place to reside will be considered for exemption of a part of or entire of land use value payment in accordance with relevant regulations of the province. - Compensation for affected structures (100% of replacement cost); 	
3	House/structures and graves	Houses/structures located in the project recovered area.	Owners of Project affected structures.	(i) Compensation by cash for all affected structures equal to 100% of replacement cost of materials, man power, regardless of they have land use right certificate or construction license or not. Compensation amount is enough to build new structures equivalent to the	The calculation of rates will be based on the actual affected area and not the useable area.

Resettlement Plan

No.	Type of loss	Application	Definition of entitled person	entitlements	Implementation issues
				<p>old ones on market price basis;</p> <p>(ii) If the structure is partly affected, the project will provide compensation to help repair, restore its original condition or even better, equivalent to 20% of total value of the affected structure.</p> <p>(iii) Compensation and assistance amounts in cash, not taking into account of depreciation of use value as well as deduction of salvageable materials.</p>	
		Graves located in the affected areas.	Owners of graves	DPs are consulted on time for relocation suitably with local customs, faiths and the project implementation progress and entitled to cash compensation for all costs of exhuming, movement, and reburial and other related costs.	For ownerless affected graves, PMU will sign a contract with an independent unit for compensation and relocate them to new site
4	Loss of standing crops and trees	Crops affected	Owners of affected crops	DPs are entitled to compensation for affected crops in cash at replacement cost.	DPs will be given notice several months in advance regarding evacuation. Crops grown after issuance of the deadline will not be compensated.
		Trees affected	Owners of affected trees.	DPs are entitled to compensation in cash at replacement cost on the basis of type, age, and productive value.	Replacement cost methods of crops and trees, aquaculture animals are made of the compensation rate for trees and crops by the

Resettlement Plan

No.	Type of loss	Application	Definition of entitled person	entitlements	Implementation issues
					Provincial People's Committee at the time of compensation to ensure replacement cost
5	Loss of income and business/ productive assets	Loss of income and business/other productive assets	Owner of the affected business/other productive assets.	<p>(i) Compensation for loss of income during transition period, equivalent average monthly net income at least for six (06) months for registered business and three months for unregistered business.</p> <p>(ii) Compensation for structure at full replacement cost. No deduction shall be made for depreciation or salvageable materials.</p> <p>(iii) if DPs have to remove to new site, provision of alternative business site of equal size and accessibility to customers, satisfactory to the DP, or, in cash for business affected area at replacement cost, plus transportation allowance to remove movable attached assets to new site.</p>	<p>DPs will be given priority for business relocation along highway, communal roads and along canals near the bridges or footbridges in order to maximize their benefit from business opportunities.</p> <p>At the time of compensation, allowances will be adjusted to account for inflation.</p>
6	Temporary impact during construction	Temporary loss of agricultural land	Users of affected land	<p>(i) Compensation for one harvest of crops/trees at full replacement costs</p> <p>(ii) Compensation for loss of net income from subsequent crops that cannot be planted for the duration of project temporary use, and</p> <p>(iii) Restoration of land to its previous or better quality by providing measures to improve land quality in cases of land being adversely affected or acidified, and</p> <p>(iv) If the duration of project's use the</p>	If the quality of land will be radically changed when return to DPs, requiring DPs to change in the types of land use, then DPs should be compensated for all envisaged cost of losses.

Resettlement Plan

No.	Type of loss	Application	Definition of entitled person	entitlements	Implementation issues
				land exceed more than two years, then the DPs have option to: 1) Continue to use land, or, (2) Give it to the Project and be compensated as permanent loss	
		Temporary loss of residential land	Users of affected land	(i) Compensation for affected assets at replacement cost (ii) restoration of land to former conditions	If there are losses of income, the community will get full compensation for loss of production and the amount of compensation is to restore shared revenue or create new infrastructure.
		Temporary impact on business	Owner of business	(i) Compensation for loss of income during transition period, equivalent average monthly net income at least for three months. (ii) Compensation for affected assets at replacement cost (iii) Restoration of land to former conditions or rehabilitation to better conditions	
		Damages by contractors to private or public structures or land	Owner or person with use rights	(i)The contractor will be required to pay compensation immediately to affected families, groups, communities or government agencies. (ii) Damaged property will be restored immediately to its former condition.	Grants will be adjusted inflation at the time of compensation.
7	Secondary impacts	Loss of land and properties for development of RS	Land users	Because secondary DPs are affected in similar ways, the same respective provisions will apply to secondary DPs.	

Resettlement Plan

No.	Type of loss	Application	Definition of entitled person	entitlements	Implementation issues
8	Loss of community assets	Community buildings, structures, community forest/grazing/or other land/ irrigation systems affected by temporary or permanent land acquisition or spoil disposal.	Village, Ward, Government Unit.	(i) Restoration of affected community buildings and structures to at least previous condition, or (ii) Replacement in areas identified in consultation with affected communities and relevant authorities, or (iii) Compensation at replacement cost for affected community land and assets.	If income loss is expected (e.g. irrigation, community forest, community grazing land), the village is entitled to compensation for the total production loss this compensation should be used collectively for income restoration measures and/or new infrastructure.
9	Subsidies and restoration assistance	Agricultural land	HHs with affected agricultural land		
		Production restoration assistance	DPs losing agricultural land	(i) For Livelihood restoration: 15,000VND per m ² agriculture land acquired. (ii) Vocational Training and Job Creation: The minimum support will be two times of agricultural land price for the whole acquired area (the land for annual tree only); (iii) In case, households need a vocational training, they will be admitted to a vocational center in the province and are exempted from tuition fees for such training course (including level of primary, secondary training and vocational college) for those in the working age (not applicable for those	Concrete form of assistance will be intensively consulted with the farmers to meet their actual needs, assisting them able to restore or improve their earning capacity and income. - The forms of assistance should be consulted closely with appropriate and effective measures of

Resettlement Plan

No.	Type of loss	Application	Definition of entitled person	entitlements	Implementation issues
				who enroll for a vocational training outside the province).	agricultural encouragement to assist the poor to restore their income generating capacity and income levels
		Residential land	Residential land-affected HHs		
		a. Displacement support	HHs who have to move to other place and those who have to build new house right on existing land area	Supporting displacement of the HHs to new place of residence within the province (10.000.000VND/HH) and 15.000.000VND/HH at maximum for those who have to move to another province. HHs who do not have to displace but have to build new house on the remaining area after acquisition will be supported with 50% of the support amount set forth at point a above	
		b. House rent support	HHs who have to displace and those who have to build new house right on existing land	House renting allowance during building-new-house time: People who have residential land acquired having right to be allocated with a resettlement land slot will be supported of house rental: 1) Ward/town are: Support level is 2.000.000d/HH/month within 8 months; ii) Other area: Support level is 1,500,000 d/HH/month within 8 months. If after 8 months the relevant authorities cannot arrange new place for resettlement for them, the city's PC will make decision to provide house rent support for affected persons until they have received land at the resettlement site and House renting allowance during	

Resettlement Plan

No.	Type of loss	Application	Definition of entitled person	entitlements	Implementation issues
				the construction of new house. HHs who have to build new house right on existing land will be supported 50% of the value of the items mentioned above.	
		Reward for timely hand-over	AHs handing premise timely	Land users who move assets, crops and hand over cleared premise timely as required, meeting Client's requirement about project implementation timing will be rewarded depending on architectural structure class, yet with reward rate not more than 3,000,000 dong/HH.	
		Support for vulnerable group	HHs in vulnerable group	The HHs, individuals with land acquired for the project including those living on public land or land of other individuals (i) in poor HH group (determined in accordance with MOLISA's criteria) will receive a support of 6,000,000 dong for each HH; (ii) in policy HH group or being those having contribution to the revolution, or those of vulnerable group determined by socio-economic surveying (if any) will receive a support of 3,000,000 dong/HH	

6. RESETTLEMENT SITE

6.1 Resettlement site

6.1.1 Objectives

144. The affected persons of project now lives mainly in urban outskirts areas, thus new resettlement site is required to ensure the equal opportunities for employment, infrastructure, and manufacturing. However, the acceptance of the project affected persons to that location through the consultant process is more important. Therefore, the consultation of affected persons in the process of preparing the resettlement site is an important factor. Effective consultation will reduce conflicts and unnecessary tension. Resettlement place was built according to the master plan, plan and construction standards for urban areas and basic infrastructure; and had been completed before the affected persons moved in. And, it would be better if the selected resettlement sites are located nearby the former residence of the affected persons.

6.1.2 Criteria and Eligibility for Relocation

145. Resettlement standards and conditions are described as follows:

- a. Households and individuals who lost the entire housing and legal land or whose rest area after revocation is not enough to rebuild their houses, or the rest of affected area can not repaired and do not meet the PPC's requirements on quota for housing, the affected persons will be allocated plots in resettlement sites. Households that moves to resettlement sites will be supported to complete procedures for land and house use certification in resettlement sites and receive land and house use rights certification without paying any additional costs.
- b. Those affected persons of land acquisition for resettlement site development will be entitled to compensation and assistance as the affected households of main items in the Project.

146. In case the compensation amount is not enough for the legal affected households to purchase a minimum plot in the resettlement sites, the affected households will be supported for the difference.

- a. In case those are using residential land that is not subject to land compensation, they will be considered for allocation of a minimum land plot in the resettlement site to do housing if they can prove with the verification of local government that they have not any other place to live; and (2) must pay for the land use fee. In case they cannot afford to pay land use fee, they will be considered to pay in installment or to get credit and benefit from support policies to improve or restore their livelihoods in line with income and living conditions of households because of paying interest.

6.1.3 Demands for Resettlement

147. According to the survey results, total relocation and resettlement households of the project are 53 households. They are eligible for resettlement in resettlement sites of the project. However, a household includes 2-3 families living together (the married adult children living with parents), so PC normally allocates additional plots in the resettlement site. Also, if a large recovery area or remain area inadequate for construction, DPs will receive plots of land for resettlement. The table below summarizes the need for resettlement projects (including 19 reserved plots)

Table 6.1: Summary of resettlement demand

No.	Item	Ward/ commune	Resettlement household	Reserve for household separation (30%)	Total
1	Component 1: Basic infrastructure upgrade and service improvement		5	2	7
1.1	Upgrading infrastructure for the residential area in the North Quang Trung ward	Quang Trung ward	5	2	7
1.2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	Phu Van commune	-	0	0
2	Component 2: Environmental sanitation improvement		32	11	43
2.1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	Lam Ha ward	21	7	28
2.2	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie – Ninh Binh expressway	Liem Chinh ward Liem Tuyen commune	11	4	15
3	Component 3: Urban roads and bridges		16	6	22
3.1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie-Ninh Binh expressway	Liem Chinh ward Liem Tuyen commune	16	6	22
	Total		53	19	72

Source: Resettlement Survey, August 2016

6.1.4 Results of Consultation and Selection of Resettlement Sites

148. After public consultation was conducted at the local, there are 4 locations to be affected by project and need resettlement land for relocated households, including Quang Trung Ward, Lam Ha ward, Liem Chinh ward and Liem Tuyen commune. The result of the consultation shows that all households are willing to relocate resettlement at locally nearby where they are currently living.

149. Therefore, four resettlement sites in the Quang Trung ward, Lam Ha ward, Liem Chinh ward and Liem Tuyen ward were included in the list to be reviewed and consulted about the level of satisfaction of the people (in the 2nd public consultation). The results of the 2nd public consultation about the selection of the resettlement site for the project affected households are presented below.

6.2 Resettlement alternatives

Table 6.2: Resettlement alternatives for affected households

No.	Item	Ward	The amount of proposed resettlement	Proposed resettlement measures	Note
1	Upgrading infrastructure for the residential area in the North Quang Trung ward	Quang Trung	5 households (7 plots)	The resettlement site in Quang Trung ward is next to the Quang Trung lake, 200m to the north is the Quang Trung ward's administrative center, 500m to the south is kindergarten, primary school, east to highway 1A is about 50m. The Resettlement site's area is 27,101m ² . Of which: For dividing into residential land plots is 14,789m ² (with 189 land plots); For tree and culture house is 2,488m ² ; For internal road is 9,824m ² . This is a resettlement site built to arrange resettlement for affected households to relocate because of the construction works in Quang Trung ward of Phu Ly MCDP. This resettlement site has completed the land acquisition and leveling from 2012 and built the full infrastructure: roads, sewers, lighting, etc. Currently, resettlement sites have available plots, so the relocated households (7 households) in Quang Trung ward will continue to be located in this resettlement site.	The 2 nd consultation results show that households agree to choose this resettlement plan.
2	Upgrading Lam Ha 1	Lam Ha	21 HHs (28 plots)	The clearance process of this land has been made since 2010-2012 and	The 2 nd consultation

No.	Item	Ward	The amount of proposed resettlement	Proposed resettlement measures	Note
	regulation lake, Lam Ha ward			completed in 2012. Now, the space and infrastructure are fully available. Expected arranged location for project items in plots E and F (pavement of 15m wide) for resettlement price current is VND 4.5 million/m ² . The existing resettlement site has 32 plots and each is 77m ² in average.	results show that households agree to choose this resettlement plan.
3	Tran Hung Dao road and of Chau Giang river southern embankment (Liem Chinh ward and Liem Tuyen commune)	Liem Chinh	27 HHs (37 plots)	The resettlement site used for site clearance of Phu Ly city project has 77 plots, the average area of each lot is 70-80 m ² ; the proposed price of resettlement land is 3.3 million dong to 4.5 million dong/m ² . This resettlement site has been cleared since 2005 (it was located in another project), then from 2011, it was transferred to resettlement and auction land fund managed by the city Land Fund Development Center. Currently, site clearance was completed in early 2016, the City Land fund development center has signed a contract on infrastructure construction on 18 August 2016, expected completion time is quarter IV/2016, ready for relocation of households by December 2016	

6.3 Resettlement sites

- Resettlement sites in Quang Trung and Lam Ha wards: It has been completed and described in the original RP of Phu Ly city Subproject (approved in 2012).
- Resettlement site in Liem Chinh ward: etailed assessment for compensation, site clearance and resettlement of the site is shown in Appendix 1 herein.

7. INCOME RESTORATION PROGRAM

7.1. Income restoration program

150. In completing the project, apart from the construction of works bearing significant socio-economic meaning, the concern about how project-displaced persons could have normal life is the ensured project sustainability. The objective of income restoration program is to aid subjects-households incurring income damages due to project implementation: (i) changed occupations as a result of loss of agricultural land and (ii) terminated/affected production and business as a result of loss of premises, means of production et. Incomes shall be recovered the same as those before project implementation, or incomes shall be increased further. Make sure that displaced persons will adapt themselves to new conditions at the soonest.

151. The project ensures full compensation and assistance policies at replacement cost for the affected land, buildings and assets. Besides, policies to support income restoration for those DPs are guaranteed and stated fully in the Resettlement Policy Framework of the project approved by the Government of Vietnam (GOV).

7.2. Income restoration measures

152. From experiences, if the vulnerability due to resettlement is not mitigated, the outcomes of development projects regularly lead to severe environmental and socio-economic problems: As for affected households in consequence of agricultural land acquisition (particularly affected households that lose 20% of total agricultural area), production systems are destroyed; people must face the loss of production tools, for their production assets are affected or they have no alternative income sources. As for displaced or resettled households, their income sources are affected in several first months after displacement if their income is based on land or business site. They relocate to an environment in which it fails to apply their production skills; higher competitiveness, weak community, and weak social system exist; relatives are scattered; culture, tradition entitlements, and mutual assistance are reduced or lost. In addition to those, people who have high social standings and/or materials, economic conditions find it more difficult to recover than others; therefore, they are more likely exposed to risks and exhaustions; these people fall in groups of vulnerable households.

153. With such special features of the MCDP Phu Ly, the income restoration will focus on the following directions: vocational training and job creation; For DPs losing income and/or business/productive assets; for vulnerable group; financial support (financial support for self-business; self-employment). They are:

7.2.1. Vocational training and Job creation

154. The MCDP Phu Ly would acquire permanently 208,848 m² of land, including 34,104m² of agricultural land, affecting lives of many farming households, especially purely agricultural

households. Therefore, beside compensation policies for affected land, structures and assets at replacement cost, they will be provided with following assistances:

Cash allowance for vocational training and carrer mentoring: Households affected by agricultural land acquisition will be assisted at east two times (200%) of agricultural land price for the whole acquired area.

155. Applied to people in the working age directly affected on agricultural production and having the demands for vocational training, job changing, job introduction, job creation loans under Decision 52/2012/QD-TTg of the Prime Minister, including:

Vocational training allowance:

- Vocational training allowance include cost of taking the course: (i) short-term vocational courses (elementary level or vocational training time less than 3 months) under the the GoV's Project on Vocational Training for Rural Workers until 2020; (ii) Intermediate and college levels.
- Also supported credit loans for pupils and students in accordance with the current regulations.

Job creation allowance:

- Consulting services on apprenticeship, job introduction will be provided free of charge at the Job Introduction Center directly under Ha Nam Department of Labour - Invalids and Social Affairs;

Support for contractual abroad working:

- Support 100% tuition fee of vocational training and learning foreign languages and fostering necessary knowledge;
- Support 100% of costs for heath examination, passport, visa and judicial records before going to work abroad;
- Support for daily meals during the studying time;
- Support for round-trip tickets from residence to the studying place in a distance of over 15km;
- Also, support loans with preferential interest rates from the Bank for Social Policies to cover the necessary expenses for fixed-term abroad working.

156. Funds to support vocational training at the intermediate and college levels are taken from the job changing support fund in line with the training and job changing schemed and included in the total investment fund of the project; Funding support for workers who go to work abroad is arranged from the Land Development Fund of the locality.

157. Job introduction: Project will give priorities for capable people, including men and women, during the project construction and operation: The Project will take into account and give priorities to members of relocated households to work as construction workers for the work items under the project.

158. In addition, Ha Nam province also have job introduction centers directly under the Department of Labor, Invalids and Social Affairs operating very effectively in training and job introduction for workers in the province. These centers include:

- Ha Nam Provincial Job Center (Add: Tran Quang Khai Str., Le Hong Phong ward, Phu Ly city. Tel: 03513.854.362)
- Center for employment services in Phu Ly city (Add: Tran Quang Khai Str., Le Hong Phong ward, Phu Ly city. Tel: 03513.858.764)
- Ha Nam Synthetic Technical Career Center (Add: Tran Van Chuong Str., Le Hong Phong ward, Phu Ly city. Tel: 03513.854.108)

159. Implementation arrangements: Parallel to the dissemination of information on projects, disclosure and publicly posting information relating to compensation and assistance and resettlement, the project will also integrate to disseminate information on training programs to affected persons, take arising aspirations of people or provide changes in job changing assistances compared to consultation time; thereby making the list of students registering to participate in various training programs of Ha Nam Vocational College. List of participants will be transferred to Ha Nam Vocational College with training fund to meet the aspirations for vocational training and job changing of the households affected by land acquisition for implementing the project.

7.2.2. Supports for Vulnerable groups

160. These are special groups that might suffer disproportionately impacts or might suffer risks of impoverishment due to impacts of resettlement. The group includes poor households, policy families, families deserving for the revolutions, the alone elder and women-headed households with dependents.

161. Obviously, in areas affected by the project, it is inevitable that fact that people living in more disadvantaged areas than surrounding communities. These objects often fall into the women-headed households with dependents, households with disabled, households falling into group below the poverty line, and landless households. These are the most vulnerable groups of land acquisition of the project. They may be people who can hardly be competitive on the labor market when their livelihoods depend on the lost land. Therefore, there should be programs to specially support for this group. These programs may coincide with the general assistance

programs to all households affected by the project but there are certain priorities for vulnerable households.

162. Specific support policies include:

- Regarding the poor or vulnerable DPs who have no other residential land in the same as their affected ward/commune, the project will provide (i) a residential plot of minimal size at a scattered resettlement site or a legalizable resettlement site with legal land use right; or, (ii) on request of the DPs informed of full information, an assistance amount corresponding to 60% of the replacement cost will be provided for them to self-relocate to new residence.
- Giving priority to vocational training or job placement.
- Food or material assistance for extremely disadvantageous households without labor capacity (combined with the social welfare policies of locality)
- Households and individuals whose land is acquired (including households living on public land or leased land): (i) the poor households are supported VND 6,000,000 per household; (ii) social policy/revolution devoting households and other vulnerable HHs will receive a support of 3,000,000 VND per household.

7.2.3. Subsistence allowance for HHs impacted with agricultural land

163. In addition to cash compensation and general assistance, all households with legal land use rights (RUR) or legalizable affected by acquisition of agricultural land for implementing the project, will be supported 15,000 VND per m² of acquired agricultural land.

7.2.4. Credit loan support

164. In the recent years, the Vietnam Bank for Social Policy (VBSP) - Ha Nam Provincial branch regularly coordinated with other agencies, political and social organizations implementation of credit programs to provide preferential loans to poor households and other policy objects. So, many households have escaped from poverty, appearance of villages in Ha Nam is changing and prosper.

165. The Vietnam Bank for Social Policy (VBSP) in Ha Nam Province are implementing five credit programs: loans to poor households, jobs, labor export, students - students, clean water - sanitation in rural areas. At the same time, the Phu Ly city also has fund for loan as "National Fund for Employment." Some information about these programs are summarized in the following table:

No.	Objects of lending	Loan limit	Loan term
I. Preferential credit policies on the poor and other policy objects			
1	For manufacturing and business	Maximum of 30 million VND per household	Maximum of 60 months (5 years)
2	Housing repair loans	Maximum of 3 million VND per household	
3	For electric lighting installation	Maximum of 1.5 million VND per household	
4	Lending costs of construction and renovation, rural clean water and sanitation program for rural households residing in villages / towns. Each household may borrow in maximum of 02 types of works (01 clean water works, 01 sanitary works)	Maximum of 4 million VND per work	
5	For children attending the school level, vocational training at universities, colleges, high schools and vocational	Up to 15 million VND per pupil/student	maximum is 13 years
6	For labor export	Maximum of 30 million VND per labor	Maximum equal to labor export time
II. National Fund for Employment			
7	For households	Maximum of 20 million VND per household	Maximum is 60 months (5 years)
8	For production and business establishments	Maximum of 500 million VND per project	

166. Borrowing procedures:

- For borrowing objects at items 1, 2, 3, 4, 5, 6, and 7: The borrower writes application for loan in the pre-printed form issued by VBSP, sent to the Team Leader of savings and loan or VBSP's staff
- For production and business establishments (at item 8):
- + Project construction: Objects in need of borrowing loan, must prepare a project, loan documentation as directed by the local VBSP.

- + Project appraisal: The local VBSP is responsible to appraise to ensure criteria such as new job creation and loan preservation, submit to competent agency for approving the project.
- + Competence of approving project: Chairman of Phu Ly CPC and the heads of the central agency shall make decision on approving funded projects; Ha Nam PPC shall decentralize to the district/city PCs to make decision on approving the loan project in quick and convenient manner for the borrower.

167. Furthermore, depending on needs, expectations, human and material resources of households, each eligible household may choose a livelihood source as its secondary income source, particularly if the primary livelihood cannot generate immediately daily income such as livestock breeding and cultivation. The secondary livelihood source will help households maintain their daily life. The main content of the program is to ensure that each household has means to maintain their daily life.

168. For the 45 severely affected households losing 20% or more of agricultural land for implementing additional credit loans of the project: when asked about demand/need/occupation selection after land acquisition, the results recorded were following: i) ... household, 71% of those households requested for fund assistance and cultivation techniques for continued cultivation on their remaining land; ii) ... household, 87.6% of households wish to be supported in vocational training and job placement to members in working age but have not stable jobs yet; iii) ... household, 28.4% of households requested for a loan for changing their business direction. Thus, the livelihood restoration program, after receiving straight feedbacks and comments for demands and expectations of households, will basically meet the desires/demands of the households. To maximize the effectiveness of the program, the communication of the project to the people will be continued to provide information about the project as well as the income restoration programs during project implementation and later resettlement.

169. In addition to the above-mentioned measures, Phu Ly city will take additional support measures (if necessary) to assist households affected by land acquisition for the project to restore their life.

8. PUBLIC CONSULTATION AND INFORMATION DISSEMINATION

8.1. Objectives of public consultation and participation

170. Main objectives of consultation and participation are:

- a) To ensure that all affected persons and stakeholders will be involved in the planning and making decisions on involuntary resettlement related to them;
- b) Minimize the adverse impacts caused by involuntary resettlement;
- c) Avoid possible conflicts during project implementation.

171. The affected persons of project need to be fully informed and consulted closely on selected areas for resettlement and compensation and assistance plans. Consulting affected persons is the starting point for all activities related to resettlement. People affected by resettlement may fear that they might lose their livelihoods and communities, or fear they do not prepare well for the complex negotiations on entitlements. APs will be involved in the resettlement planning and management to help decrease fears and give opportunities for them to participate in making decisions on what will affect on their lives. The implementation of resettlement without consultation may lead to an inappropriate strategy and ultimately ineffective. If the affected person is consulted promptly, all conflicts related to the project can be resolved timely.

- One of the important documents promoting grassroots democracy in Vietnam is Guide 30-CT/TW of the Communist Party of Vietnam in "Building and implementing regulations on grassroots democracy" and Conclusion 65-KL dated 4 February 2010 of Secretary of the Party on further implementation of Guide 30-CT/TW on the construction and implementation of grassroots democracy. The key point of this legislation is the famous slogan "people know, people discuss, people do and people check".
- Ordinance 34/2007/PL-UBTVQH11 pointed out the problems that local governments and communities raise their idea before the competent authority makes decision; in which: construction of the compensation and resettlement plan related to projects, works in the ward/commune.

172. Article 43, Article 48, Article 67 of the Land Law 2013 requires disclosure of related issues of resettlement, as the reasons, planned land acquisition, relocation plans, share compensation plan, site clearance to affected persons.

173. The following points should be focused on encouraging the relevant agencies involved in the consultation process of the Project:

- a. Identify and encourage all relevant agencies, and especially the affected persons participate in the consultation and participation;

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- b. Develop strategies for relevant agencies to participate in the planning, monitoring, implementation and evaluation;
- c. Explain the strategy and details for the dissemination of information, and establish procedures to allow the affected persons to negotiate their entitlements;
- d. Attractive relevant agencies to participate in making decisions at different stages of project implementation (eg: compensation mechanism, consulting the affected persons is consult about the compensation progress and implementation, etc.);
- e. Set up a schedule for activities such as providing information, compensation level and the method and establish interests, location and relocation plan;
- f. Establish grievance redress process

8.2. The process of consultation and participation

174. **Responsible agency:** The APs will be notified by PMU on the responsibility of organizations/ agencies and local authorities in relation to resettlement and the names and functions of the local government staff along with numbers telephone, address and hours of operation.

175. **Implementation process:** The APs will be notified of the process estimated important resettlement activities and building can only begin when the relocation is implemented and finished and the affected persons have to relocate from the project area. Necessary to emphasize that the affected persons to receive compensation for their property, they soon relocated as required. The Board/ Council of compensation, assistance and resettlement at all levels will be offered maps, diagrams and statistics concerning the extent of damage and the implementation plan

176. **Disclosure of information:** Policy framework for compensation, assistance and resettlement will be posted for affected persons and community in public places such as the Project Management Unit, People's Committee and People's Committee of the ward / commune and even even at the community activities of the neighborhood / urban groups

After RP approved by the CPC, RP will be disseminated in public places such as PMU, the city People's Committee, communes / wards and on the website of the World Bank in Hanoi and Washington D.C.

Resettlement Planning and Policy Framework, support and resettlement will be widely disseminated through the media as loudspeakers, televisions, newspapers, posters and leaflets. Moreover, the project introduction book (PIB) will also be popular in this period.

8.3. Method of public consultation

177. The method of information dissemination and Public consultation may include Participation Rapid Assessment (PRA) through to visit family, locality, community meetings, group meetings, group discussions, and socio-economic study.

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178. At the beginning of the preparation phase, local authorities and leaders at different levels will be informed about the project, objectives and activities. They will be consulted and actively involved in discussions about the development needs and priorities. They can also contribute their opinions and ideas about the negative impacts of the project that may occur and how to reduce and increase their public interest in the project. Local authorities will also be consulted on the agreement and commitment resettlement policy in the framework of the project reflects the policies of the World Bank and the Government of Vietnam. The mass media, including television and the local press, will disseminate the objectives of the project components and activities in the public areas once they have been approved.

179. **Public consultation:** Before detailed design, public consultations should be held in the affected wards/ communes to provide information to the affected persons and provide opportunities for them to engage in open discussion on policies and procedures for resettlement. Notice or invitation for the affected persons need to send at least 02 weeks in advance. The purpose of these meetings in order to clarify the information before the meeting, a chance to discuss and clarify information. Besides the invitation, information disseminated through posters in public areas in wards, communes and districts through radio, newspapers. Women and men of the affected households and other subjects are encouraged to participate in meetings in which the project will be explained, the interests and needs of the household will be clarified because will have the opportunity to speak to the community their concerns. The meetings will be held periodically during the project implementation. The text information and pictures will be provided to the affected persons in the meeting and copies of the information that will be available in cities and communes/ wards are involved in the project area. The meetings included:

- Explanatory documents and images, including information and proposed drawings of the project planned for the different items.
- The affected persons have advantage conditions for expressing their opinions, answer their questions, and encourage them to contribute ideas for the restoration plan.
- City compensation council recorded a full list of affected households to participate in the meeting.
- City compensation council records compensation questions, comments, ideas and arising decisions in the meetings and consultation and report all of the contents/ results of meetings for PMU.

8.3.1 Public consultation during project's preparation stage

180. During project's preparation stage, public information and consultation aims to gather information for assessing project resettlement impacts and clarify recommendations on possible alternative technical options. This will reduce and/or mitigate potential negative resettlement impacts on local population and to proactively address issues or problems that may emerge

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during the implementation. Affected persons have been consulted on the impacts and measures taken to minimize the negative impacts and enhance the entitlements to the community. Local authorities have also been advised of agreements and commitments implementing the resettlement policy.

181. Project Management Unit of Phu Ly City, with the assistance of resettlement consultants, conducted consultations on compensation and resettlement with relevant stakeholders, including officials from the ward/ commune People's Committee, the leaders of the groups and the local population in the affected area.

182. At the early stage of the project preparation, local authorities and leaders of different administrative levels in each of the subproject province were informed about the project proposal, its objectives and proposed activities. They were intensively consulted and actively participated in discussions on their development needs and priorities, about their perception toward project objectives. PAPs will be consulted on project potential impacts and possible measures to reduce potential negative impacts, and improve entitlements for local people.

183. After surveying and consulting, consultant group had a meeting with local authorities to report all of the survey results/ counseling. At the same time, the consultants collect relevant information, the advantages and disadvantages, lessons learned and to propose measures for the resettlement plan and set up indicators to monitor and continue to perform in the next stage.

184. Since August 2016, the public consultation has been carried out to inform and consult with local people and communities about the project's policy and interests of the people. The specific programs are described as follows:

Table 8. 1: Public consultation on land acquisition and resettlement

No.	Location	1 st consultation time	2 nd consultation time	Participant	Content/ program
1	At the culture house of Dinh Trang village – Lam Ha ward	14h – Dated 9 August 09/08	8h00 – 17 Oct	- Representatives of local authority and unions: Farmer association, Women's Union, National Front, Youth Group...	The 1 st round: 1. Project introduction - Introduce project (objectives, location, scale and plan of project) - Technical issues of project; items, works implement in ward/commune - Related policies on compensation/ resettlement of the GoV of Vietnam and the World Bank of project 2. Consult idea of community about resettlement.
2	At the culture house of Trieu Xa village – Liem Tuyen ward	8h00 – dated 10 August	8h00 – 16 Oct	- Representatives of affected households of project	
3	At the culture house of Me Noi village – Liem Chinh ward	14h00 – dated 10 August	14h00 – 16 Oct	- Representatives of PMU	The 2 nd round: 1. Project introduction - Introduction about the
4	At the culture house of village 3 – Phu Van ward	8h00 – dated 11 August	8h00 – 18 Oct	- Representatives of consultant	

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No.	Location	1 st consultation time	2 nd consultation time	Participant	Content/ program
5	At Quang Trung ward PC	14h00 – dated 11/8	14h00 – 18 Oct		project (objectives, locations, scale and plan of the project, etc.); - Policies related to compensation, support and site clearance/resettlement of GoV, WB and the Project. 2. Public consultation about option to arrange resettlement for displaced HHs;

Source: Resettlement survey. August 2016

185. Results of public consultation meetings with residents in the project area shows in the project area residents participated quite actively their opinions and on the implementation of the project categories. Results of public consultation meetings in the ward/ commune in the project area are shown in the following tables:

Table 8.2: The results of public consultation in project area

No.	Component/Work	Community's comments	Project's comments	Conclusion
I	Component 1: Basic infrastructure upgrade and service improvement			
1	Upgrading infrastructure for the residential area in the North Quang Trung ward	<ul style="list-style-type: none"> - The general opinion is that people agree with the project and look forward to early implementing project. - The people want the project will soon be implemented, avoid "hanging" the project. If project have capital of the World Bank, it should be invested on improving the road system, lighting, water supply and drainage - To request the project implementation closely to ensure the progress of the project quality, the people must also be involved in monitoring during project implementation. Also must have a clear plan for local notice before implementation - Compensation and assistance policy should be announced to households so that they are aware of the compensation plan and have the opportunity to choose 	<ul style="list-style-type: none"> - The project will absorb the suggestions from relatives and to propose how best limited impact on households as possible. - Before conducting the deployment of local community, the project will be announced as well as submit the work plans to the local - Project wants local authorities and residents to cooperate and support to complete the project soon, achieve progress as request 	The participants in the consultations meeting agreed, supported to the implementation of the project
2	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city	<ul style="list-style-type: none"> - People is looking forward to the project because current kindergarten in the commune has been degraded and not met the teaching and learning needs of the children. - The PAPs fully agree to participate 	<ul style="list-style-type: none"> - The project will take over the suggestions from relatives and to propose how best limited impact on households as possible. - Before conducting the deployment of local community, the project will 	- 100% local participants in public consultation of project agree with the implementation of project. The affected households willing to contribute for site

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No.	Component/Work	Community's comments	Project's comments	Conclusion
		<p>in the clearance and the clearance area is mainly agricultural land: maize and neighboring florists</p> <ul style="list-style-type: none"> - Should inform planning and project implementation schedule to the affected households. They can arrange plant schedule - Public policy statements that the household compensation will be received. 	<p>be announced as well as submit the work plans to the local</p> <ul style="list-style-type: none"> - Project wants local authorities and residents to cooperate and support to complete the project soon, achieve progress as request 	clearance of project.
II	Component 2: Environmental sanitation improvement			
1	Upgrading Lam Ha 1 regulation lake, Lam Ha ward	<ul style="list-style-type: none"> - The general opinion is that people agree with the project and look forward to early implementing project. - Should inform planning and project implementation schedule to the affected households to relatives arranged accommodation - Need to inform policy on compensation for affected households and resettlement sites for displaced families - Need for fair compensation for affected households. 	<ul style="list-style-type: none"> - The project will absorb the suggestions from relatives and to propose how best limited impact on households as possible. - Before conducting the deployment of local community, the project will be announced as well as submit the work plans to the local - For severely affected households have to displaced resettlement will be arranged at the resettlement site of the project. 	<ul style="list-style-type: none"> - The participants in the consultations meeting agreed, supported to the implementation of the project
2	Construction of Chau Giang river southern embankment from Liem chinh bridge to Cau Gie-Ninh Binh expressway	<ul style="list-style-type: none"> - The general opinion is that people agree with the project and look forward to early implementing project. - Should inform planning and project 	<ul style="list-style-type: none"> - The project will absorb the suggestions from relatives and to propose how best limited impact on households as possible. - Before conducting the deployment 	<ul style="list-style-type: none"> - The participants in the consultations meeting agreed, supported to the implementation of the project

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No.	Component/Work	Community's comments	Project's comments	Conclusion
		<p>implementation schedule to the affected households to relatives arranged accommodation</p> <ul style="list-style-type: none"> - Need to inform policy on compensation for affected households and resettlement sites for displaced families - Need for fair compensation for affected households. 	<p>of local community, the project will be announced as well as submit the work plans to the local</p> <ul style="list-style-type: none"> - For severely affected households have to displaced resettlement will be arranged at the resettlement site of the project. 	
III	Component 3: Urban roads and bridges			
1	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie-Ninh Binh expressway	<ul style="list-style-type: none"> - The general opinion is that people agree with the project and look forward to early implementing project. - Should inform planning and project implementation schedule to the affected households to relatives arranged accommodation - Need to inform policy on compensation for affected households and resettlement sites for displaced families - Need for fair compensation for affected households. 	<ul style="list-style-type: none"> - The project will absorb the suggestions from relatives and to propose how best limited impact on households as possible. - For severely affected households have to displaced resettlement will be arranged at the resettlement site of the project. - Beside the cash compensation for land and assets, the affected households will receive another support such as: living stability, career transition 	<ul style="list-style-type: none"> - The participants in the consultations meeting agreed, supported to the implementation of the project

8.3.2 Public consultation during project's implementation stage

186. During the project implementation, the PMU/DPC/DCRC, with the support of the project consultants, will undertake the following tasks:

- a) Providing information to relevant agencies at all levels throughout training workshops. Provide detail information on the project policies and implementation procedures.
- b) Organizing information dissemination and consultation to all affected persons during the project implementation.
- c) Updates the unit prices based on the results of replacement cost survey, and reconfirm the scale of land acquisition and impacts on properties based on the results, consultation to affected persons.
- d) Then, Council/ Board Compensation, Resettlement city will apply prices, calculate compensation rights, and complete calculated compensation plan for each household affected. PMU will present information about entitlements directly to the affected persons during the next visits to the household.
- e) Each household will in turn engage in the measurement, asset inventory, and drawing up the housing / land purchase is revoked and sign the inventory of damaged asset.
- f) Each family will be involved to consider the draft detailed plan for compensation, support and resettlement, and detailed spreadsheet listing each household with specific levels of influence, compensation rates, based and estimated compensation payment for each household.
- g) Households have the rights to reflect and exchange questions about the calculation of compensation and their questions have been answered satisfactorily in accordance with the specific situation, including issues related to resettlement as price, installment payments and documentation procedures in place new ownership.
- h) Households will be involved in the process of reviewing the detailed plans on compensation, assistance and resettlement and detailed spreadsheet listing each household with a specific level of influence, compensation rates, base and estimated pay compensation, support for each household.
- i) Afterwards, the city clearance compensation board will calculate compensation, assistance and resettlement (if any) based on the price list and complete detailed plans on compensation, assistance and resettlement for damages household harmful project affected. PMU will disseminate information about the rights of people affected in subsequent consultations with families during the deployment of this resettlement plan.
- j) The property compensation plan finalizes affected assets and compensation entitlements of households, which must be signed by affected persons to demonstrate their concurrence

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with the evaluated results. Any questions of affected persons on the content of the compensation plan must be recorded at this time.

- k) Send invitations to the APs to inform and explain the plan clearly impacts / consequences of each plan / plan for compensation, support if any
- l) A letter/questionnaire about compensation plans will be given to all PAPs entitled to relocation (a) to inform them about compensation plans (a clear explanation of the consequences of choosing each option will be given), (b) to request that PAPs confirm their choice of resettlement option and their preliminary confirmation of resettlement site location, and (c) to propose the PAPs to clarify services that they are using such as education/health/market and distance of access to those services to ensure development of the future infrastructure service.

187. Consulting affected persons about their desire for the rehabilitation plan. This will be applied for severely affected and vulnerable people. The DCRC will notify affected persons of the plan and their entitlement to receive technical assistance before requesting them to make clear their desire on the rehabilitation support.

Public consultation

188. Before starting the detail design, communities' meetings in each commune are carried out to give information regularly to PAPs and create opportunities to discuss openly on policy and procedure of resettlement in affected areas. All affected households are attended and suggest their ideas. Related information and documents on project content, impacts and rights of PAPs are sent to affected persons directly in meetings.

8.3.3 Information disclosure

189. After completion, the draft Resettlement Plan will be public posted at the headquarters of the People's Committee of Phu Ly city and Liem Chinh, Lam Ha, Quang Trung ward and Phu Van, Liem Tuyen communes People's Committee in late of September 2016. Information about the announcement will be publicized via the electronic portal of Phu Ly City.

190. After the project is approved, the mass media, including television programs and local newspapers will widely introduce proposals at public locations, including the information on the objectives, components and operations of the project.

191. In addition to public notice for those affected and their communities, resettlement policy framework and resettlement plan must be publicly announced in the inter-agency departments the Phu Ly City People's Committee, wards/ communes PCs at the Information Center of the World Bank in Washington DC.

9. GRIEVANCE AND REDRESS MECHANISM

9.1. Responsibility

192. The agency is responsible for carrying out the process for settling complaints, questions during the implementation of site clearance compensation including the CPC, the Department of relevant departments, the site clearance compensation council all levels, the local People's Committee which was affected by the project and the organization in charge of compensation and ground clearance for the construction project as well as PMU. Depending on the functions and responsibilities of each level, the mechanism for settling complaints and queries of the affected households will be defined according to the legal documents issued by the State.

193. To ensure the affected households have the opportunity to present complaints related to compensation, support and resettlement, detailed complaint procedures will be established for the project. The objective is to address the complaints of affected households rapidly and right process. The mechanism will be designed to be simple, straightforward, fast, open and fair. By resolving complaints at each project level, project implementation schedule will certainly be more effective. Those who have land recovered if not agree with the decision on compensation, assistance and resettlement can present complaint in accordance with the law.

194. The grievance redress with the decision of compensation and assistance, clearance and resettlement with responsibility for resolving claims, statute of limitations and procedures for settling complaints shall comply with the provisions of Article 204 of the Land Law 2013, articles 89 and 90 of Decree No. 43/2004/ND-CP dated 15May 2014 of the Government of Vietnam on the implementation of the Land Law

195. Cases of grievance redress related to administrative decisions on land management will comply with procedures to address grievances, complaints, recommendations on civil enforcements set forth in 2011 and Circular No. 02/2016/TT-BTP dated 01 February 2016 of the Ministry of Justice.

9.2. Grievance procedures

196. All inquiries and complaints from affected persons on the right of compensation, compensation policies, compensation rate, land acquisition, resettlement and the related entitlements related to restoration programs will be recorded and processed by the competent authorities. Local social organizations such as the Fatherland Front, Farmers' Association, Women's Union, Reconciliation Council, etc. are mobilized to participate actively in the process of reconciliation and resolution of complaints and inquiries from affected persons.

197. The grievance procedures consists of four steps as follows:

Step 1: The aggrieved affected household can bring his/her complaint in writing or verbally to any member of the Commune People's Committee, either through the Village Chief or directly to the CPC. It is incumbent upon said member of CPC or the village chief to notify the CPC of the

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complaint. The CPC will meet personally with the aggrieved affected household and will have 30 days and maximum of 45 days following the lodging of the complaint, depending on complicated case or distance, to resolve it. The CPC secretariat is responsible for documenting and keeping file of all complaints that it handles.

Land fund development center and/or ward/commune People's Committees shall be responsible for settling these complaints within 30 days from receipt of the complaints from affected persons. For complicated cases, the redressing time may be longer but must not exceed 45 days from the date of receipt of the complaints.

Step 2: If affected persons are unsatisfied with judgment of the LFDC and/or Ward People's Committee, they can send their grievances to the District People's Committee

Deputy Chairman of the city council chairman clearance organizations responsible for consideration and settlement of complaints of people affected with the participation of relevant agencies are participating menu board. Time to settle complaints by the Board of clearance is within 45 days of receiving the complaint. For complicated cases, the processing time may be longer but must not exceed 60 days from the date of receipt of the complaints and complaints.

In the case of complaints by affected persons beyond the competence of the Council of clearance, the Council will report to the city People's Committee for resolving, simultaneously notify the affected persons to know. City Resettlement Council (CRC) is responsible for working with the agencies of the City People's Committee to resolve complaints by people affected within 15 days. Upon receipt of the settlement of the city People's Committee, the communes/wards PC are responsible for the fulfillment of its notification to the affected persons.

In the case of complaints by people affected beyond the competence of the Council of clearance, the Council will report to the city People's Committee resolved, simultaneously notify the affected know. City Resettlement Council (CRC) is responsible to work with the agencies of the City People's Committee to resolve complaints by people affected within 15 days. Upon receiving the opinion of the Committee resolved to Commune/Ward PCs are responsible to notify the affected persons of settlement results.

Step 3: If the DPs still do not satisfy with the decisions of the PPC on their appeals they can submit their cases to the district courts for review within 15 days since they received decisions from Ha Nam province.

PPC is responsible for directing City Resettlement Council (CRC) and the relevant agencies of the city resolved within 45 days of receiving the complaint PPC. PPC shall notify the affected persons of settlement results.

Step 4: If the affected person is still dissatisfied with the decisions of the PPC, the person affected can complain to the provincial People's Council or to the Court to be resolved according to law

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In fact, according to the Complaint Law 2011, affected persons may submit to the court at any given time if they want.

Where the affected persons send a complaint to the City People's Council, the People's Council will direct the City People's Committee to consider and settle the complaint. Duration resolve complaints within 45 days from the date of the City People's Council received a complaint. Pending the settlement of complaints, including the resolution of disputes in court, the people affected must hand over the site to the project on schedule. Compensation, support amount will be deposited in a commercial bank account

198. The agencies responsible for complaints and resolve complaints during site clearance and compensation are Phu Ly City People's Committee, relevant departments. Clearance Compensation Board at all levels and communes/ wards PCs affected by the project. All records of complaints and resolving complaints related agencies are stored at the Center for Land Development and Project Management Unit. Project Management Unit is responsible for updating the list of complainants and status of complaints expressed in the internal monitoring reports.

10. IMPLEMENTATION ARRANGEMENTS

10.1. Institutional framework

199. Agencies in charge of land acquisition and resettlement include:

- o Ha Nam province people's committee
- o Phu Ly city people's committee
- o Project management unit
- o City land fund development center
- o People's committees of project wards/communes
- o Representatives of affected community of project;
- o Independent monitoring agencies, units/individuals

10.2. Responsibilities of relevant agencies

10.2.1. Province PCs

200. Provincial People's Committees (PPC) in each involved province is responsible or authorize city PC to set up and direct a provincial resettlement appraisal council in accordance to the needs of the project. The PPCs will take overall responsibility as follows:

- (i) Appraise and approve RPs of their respective sub-projects after the final drafts are approved by the Bank;
- (ii) Approve the land acquisition and allocation in the Project;
- (iii) Make final decision and release compensation rates for the compensation and assistance levels, and support policies for affected persons and vulnerable groups based on this Policy Framework and the approved RPs;
- (iv) Direct the coordination among the concerned agencies and the provincial departments to implement the compensation, assistance and resettlement in accordance with the approved RPs;
- (v) Provide full budget for the resettlement activities;
- (vi) Ensure that the resettlement activities of the sub-project are in accordance with the Policy Framework and the approved RPs.

10.2.2. Phu Ly PC

201. The City People's Committee is responsible for determining legal rights to land and structures on land, land acquisition and land allocation (residential land), appointing members of the Board/Council of resettlement of the city.

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City's Resettlement Committees

202. The compensation and resettlement committee/council (CRC) of the city is responsible to:
- (i) Plan and implement all daily RP activities within the city.
 - (ii) Responsible for directing and monitoring the Resettlement specialist in charge of inventory of land acquisition, completion of compensation plans, review of the compensation plans to submit the PCs of provinces or cities (if authorized) for approval and coordinate with the PMU to pay compensation directly to each affected persons after receiving compensation fund;
 - (iii) Responsible for coordinating with relevant units for conciliation and resolution of complaints by project affected persons on entitlements and compensation rights;
 - (iv) Establish, if necessary, the commune/ward CRCs and direct them in implementing the RP activities;
 - (v) Take special care to the needs and aspirations of the particular groups of people (ethnic minorities) and the vulnerable people (children, the elderly, the household heads who are female/single);
 - (vi) Cooperate closely with the independent monitoring agencies.

10.2.3. Project Management Unit (PMU)

203. The Project Management Unit (PMU) will be established by the project owners for their subprojects. The Project Management Unit is a permanent agency responsible for the implementation of resettlement plan of the project. It is agreed that experienced qualified PMU staff will be selected to respond to the project social – environmental safeguards. They need to comply with established procedures from the initial stage. Staff and their professional profile and training required will be agreed with the WB. The PMU responsibilities are:

- (i) On behalf of the project owner or the city, implement and monitor all resettlement activities within the project, under the management of the PPC or the city PC. To prepare, coordinate and monitor the RP;
- (ii) To update / prepare or update the RPs in accordance with the Resettlement Policy Framework and submit them to the PPC/city PC and WB for approval.
- (iii) To guide all RP activities of the city and wards/communes, following the policies and guidelines of the Project Resettlement Plan;
- (iv) To establish model procedures/processes regarding information campaigns and the relevant consultation organizations such as sending monthly letters to the communities on the Project activities. To coordinate with other components and other agencies involved in the RP, implement and monitor the resettlement;

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- (v) To check and advise the PPC on the Compensation rates of land and other properties, in coordination with other related government departments, agencies of the province, based on the principles of this Resettlement Policy Framework;
- (vi) To coordinate, supervise, and monitor the implementation of the RP activities in the province;
- (vii) To establish a contact mechanism to ensure that the technical assistance and logistics are suitable for the implementation of compensation and resettlement;
- (viii) To set up database and the eligibility criteria for affected persons for every components and subcomponents as well as for the entire project.
- (ix) To establish procedures for internal monitoring to supervise the compliance with the project policies.
- (x) To establish procedures for monitoring coordination between contractors and local communities and ensure quick identification and compensation for impacts on public and private properties during the construction.
- (xi) To employ, monitor, and implement the recommendations of the independent monitoring agencies and independent price appraiser.
- (xii) To set procedures for quickly implementing necessary mechanisms for resolving complaints and grievances.
- (xiii) To provide project employment related opportunities for affected persons
- (xiv) To take over land acquisition from households and transfer to contractors' units
- (xv) Selection and mobilization the independent land appraiser to conduct RCS which is basic for Ha Nam PPC to define the compensation rate at market rate for the project.
- (xvi) To cooperate closely with the independent monitoring agencies; and independent price appraiser
- (xvii) To define reporting periodical system on resettlement activities to the WB.
- (xviii) A resettlement contact person at the PMU works directly with DPs as an informal first step prior to the grievance panel. He/she will also help illiterate/vulnerable people in logging their complaints. The aggrieved APs will be exempted from any administrative and legal fees that might be incurred in the resolution of grievances and complaints. More details about his/her responsibility will be described in TOR for social safeguard specialists.

204. Capacity Assessment of the Project Management Unit:

- Regarding the capacity of the PMU, the PMU is based on a core basis of the current PMU, PMU has specialized professionals and have policies and regimes suitable to the

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members of the PMU for more investment for the project activities. Currently, Phu Ly City PMU has two experts/ officials knowledgeable in the field of social security responsible for safety issues of social/ resettlement. Most of the staff involved in the PMU and the staff of the departments of Ha Nam Province has a lot of experience in the implementation of ODA projects and the World Bank

- In addition, the project also offers a training program for staff of the Project Management Unit of Phu Ly City and stakeholders on the inventory of property and land to serve the compensation, support, clearance and resettlement, etc. in the project implementation. Funding for these activities including funding for training in capacity building and technical assistance in Component 4 of the Project.

10.2.4. People's Committee of wards/ communes

205. Assign tasks for communal officials to support the RP activities in their wards/communes:

- (i) Support other units, organizations such as the PMU for information dissemination and organization of community meetings and counseling affected persons' comments;
- (ii) Support other organizations and units, including the PMU, in the demographic survey, cost/replacement cost survey, detail measurement and inventory survey, and other resettlement activities;
- (iii) Participate in all activities of land acquisition and analysis of land origin, characteristics and use time, resettlement, restoration assistance, and social development support;
- (iv) Support affected persons in all RP activities and living standard restoration. Notify DPs of the compensation schedule and monitoring the compensation implementation and sign on contracts of compensation with DPs;
- (v) Ensure the adequate implementation of mechanisms of resolving complaints to affected persons. To keep records of document on complaints. Support and advice and guide affected persons to resolve complaints.
- (vi) Certify the origin of land use of organizations, agencies, units and individuals, households affected by the project.

10.2.5. Independent monitoring agency

206. **Independent monitoring agency (IMA):** Need to identify and hire an agency/ organization or research institute specializing in social sciences, to conduct socio-economic surveys, monitor and evaluate the implementation of the Resettlement Plan. Project Management Unit will sign a contract with Independent monitoring organizations are choosing this. Hiring costs carried out independent monitoring of resettlement for the project will come from the IDA fund of the Project. Independent monitoring agencies will report periodically on progress made

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and to make recommendations concerning resolving the problems detected in the monitoring process

207. **Assessment and monitoring:** following criteria will be assessed and monitored by IMA

- (i) Compensation payment, such as: (a) the entire amount of compensation to be paid fully for the affected persons before taking or not; (B) pay the full corresponds to the replacement of the affected assets.
- (ii) Support those who have to rebuild their houses on the remaining land, or the displaced people to rebuild houses in new places arranged or assigned by the project.
- (iii) Support income restoration.
- (iv) Public consultations and public dissemination of compensation policies: (a) the person affected must be informed and consulted fully on land acquisition, land leasing operations and change position; (b) Independent monitoring agency must attend at least one public consultation meeting to oversee public consultation procedures, the arising problems in the meeting and the proposed solutions; (c) an assessment of public awareness for the policies and the right to compensation is made with the affected persons; and (d) assess the awareness of the different options for affected persons are specified in RP
- (v) Those affected persons will be monitored in terms of recovery of production activities
- (vi) The level of satisfaction of APs on different aspects of the resettlement plan will be monitored and recorded. Operation of the mechanism for resolving complaints and complaint settlement rate may be monitored
- (vii) Through the implementation process, the trends in living standards are observed and investigated. Any potential problems in the restoration of living standards is reported and the appropriate measures will be proposed to ensure project objectives. The basic indicators for monitoring of the implementation period is used to monitor internal and independent to assess the impact and livelihood restoration standards.

Project Management Unit and independent monitoring agency (IMA) ensure that the affected persons (farmers) will be continue monitored for livelihood restoration after completing vocational training.

An independent monitoring agency (IMA) will be mobilized under the leadership of the World Bank to ensure timely resolution of problems and arising difficulties in the implementation process and is recognized as the final monitoring results.

208. **Methodology for Independent Monitoring:**

Sample Survey

Resettlement Plan

A socio-economic survey will be required before, during and after resettlement implementation to provide a clear comparison of success/failure of the resettlement plan. Monitoring will be on a sample basis. Scale of the survey sample may cover 50% relocated households and severely affected households, and at least 10% of the remaining households. Survey needs to be conducted 2 times/ year.

The surveys should include women, elderly persons, and other vulnerable target groups. It should have equal representation of male and female respondents.

Database Storage

The Independent monitoring agency (IMA) will maintain a database of resettlement monitoring information. It will contain files on results of independent monitoring, HHs monitored and will be updated based on information collected in successive rounds of data collection. All databases compiled by the PMU and the WB will be fully accessible by the IMA.

Reports

The independent monitoring agency must submit periodical reports every 6 months which states the findings in the monitoring process. This monitoring report will be submitted to the PMU, and then the PMU will submit to the WB in the form of appendixes of the progress report.

The report should contain (i) a report on the progress of RP implementation; (ii) deviations, if any, from the provisions and principles of the RP; (iii) identification of outstanding issues and recommended solutions so that the executive agencies are informed about the ongoing situation and can resolve problems in a timely manner; and (iv) a report on progress of the follow-up of problems and issues identified in the previous report.

Follow-Up Monitoring Report

The monitoring reports will be discussed in a meeting between the IMA and PMU. PMUs will hold meetings immediately after receiving the report. Necessary follow-up activities will be carried out based on the problems and issues identified in the reports and follow-up discussions.

Ex-post Evaluation Report

In fact, this is the evaluation at a given point of time of the impact of resettlement and the achieved objectives. The external monitor will conduct an evaluation of the resettlement process and impacts 6 to 12 months after the completion of all resettlement activities. The survey questionnaires for evaluation are used based on the database in the project database system and the questions used in the monitoring activities.

Resettlement Plan

Resettlement implementation cannot be considered complete until an ex-post evaluation and a project completion audit confirm that all the affected HHs have received fully all compensation, assistance and life restoration processes as planned³.

³ In the case of the survey data, assessment and identification of affected households can not afford to restore their lives in accordance with the objectives of the project, an additional funding should be established to continue support for households. The independent monitoring reports will be sent to the PMU, and the World Bank to continue monitoring and evaluation. On the other hand, when the project is still unfinished. World Bank Supervision will continue until determining that the measures outlined in the resettlement of records relevant resettlement has been implemented. After completion of the project, implementation completion report (ICR) will assess the achievement of the objectives of the resettlement work, lessons learn for future operations and summarizes the results of the evaluation of project management Board referred to in OP 4.12, para. 24.12. If the evaluation shows that the objectives of the resettlement are not done, the ICR will assess measures appropriate resettlement and can suggest ancillary activities, including continuous monitoring of the World Bank. The conditions evaluate the results of the ICR to achieve resettlement based on one socio-economic survey of the affected people are made at the time of completion of the project (or completed items) as post-evaluation, and will take on as the official results of the project's impact on the lives of affected people.

11. IMPLEMENTATION SCHEDULE

11.1. Main activities

209. To ensure the project is successfully implemented and highly efficient, the main activities should be established through an implementation schedule with timelines. Thereby, the implementation progress of work items at certain times can be evaluated. The plan should be mapped out from the start of the project and prolong throughout the implementation process and continuously to the completion phase of the project. In the resettlement plan, the main contents needed to be done from commencement to completion phase include:

- a. Announced the cut-off-date and compensation plan: all project affected households are fully informed of the entitlements, and policies in RP, including the eligibility, entitlements, methods and compensation rate, schedules, grievances and redress. Project Information Book (PIB) will be prepared by PMU and then it will be distributed to affected households or announced at the meeting in population groups, ward, district, or in the public consultation. Besides, leaflets, posters were also distributed to each household, posted at public places like Ward People's Committee/ social, cultural houses, clinics, schools, etc. Announced land acquisition policy of the project, decide the investment project approval, approval of the project design...
- b. Socio-economic survey in affected area
- c. Develop the plan on development of resettlement sites.
- d. Create the life restoration measures.
- e. Compensation, support, resettlement and life restoration.
- f. Assessment of the project's impacts on affected households: One year after the project ended, a social- economic survey in project area will be conducted to assess the impacts of the project on the benefited community and the project affected households. The results of this survey will be served as basis for assessment of the project's impacts on the community and the lessons learnt for the later project operations and design and implementation.

11.2. Implementation schedule

210. Implementation schedule for activities of land acquisition of the Vietnam Medium Cities Development Project – Phu Ly City Sub-project” is presented in table below:

Resettlement Plan*Table 11.1: Implementation schedule*

Main activities	Time
Resettlement plan	
Determine tentative project location and scope of the project's impacts	Quarter III/2016
Socio-economic survey, preliminary inventory of losses (IOL), public consultation with affected persons and preparing Resettlement Plan	Quarter III/2016
Submit Resettlement Plan to PMU for reviewing	Quarter III/2016
Submit Resettlement Plan to World Bank	Quarter IV/2016
Resettlement plan implementation	
Preparing cadastral dossiers and land acquisition demarcation	Quarter II/2017
Implement public consultation and information disclosure, detailed measurement survey (DMS), replacement cost survey, prepare detailed compensation plan	Quarter II and III/2017
Compensation payment	Quarter III and IV/2017
Site clearance, relocation and restoration measures (if any)	Quarter IV of 2017 – Quarter II of 2018
Post-resettlement evaluation	Quarter III of 2019

12. MONITORING AND EVALUATION

211. Monitoring and evaluation activities during the implementation period and after the resettlement stage are to ensure the land acquisition and resettlement are to be carried out in accordance with the regulations, guidelines specified in the resettlement plan. Monitoring provides all stakeholders with continuous reflections on the implementation of land acquisition and resettlement. This activity helps assess the actual successful ability and arising difficulties as soon as possible, to facilitate remedying timely in the project operation phase.

212. The purposes of monitoring and evaluation are to (i) review the activities of the project to be completed efficiently or not, including the quantity, quality and time; (ii) evaluate these activities can reach the goals and purposes set forth for the project or not, and achievement level.

213. The Project Management Unit of Phu Ly City, acting as the Executing Agency of the project as well as the Independent Monitoring Consultant held regular independent monitoring of resettlement activities.

12.1. Internal Monitoring

214. Internal monitoring for the implementation of Resettlement Plan (RP) is the responsibility of the Project Management Unit of Phu Ly City, with the support of project consultants, will monitor the progress of the preparation and implementation of resettlement through regular progress reports on quarterly basis.

Indicators of internal monitoring include:

- a) Compensation payment and assistance for affected households are implemented according to the entitlements agreed in the RP.
- b) Technical assistance, relocation and allowance.
- c) Income restoration and entitlements to restoration allowances.
- d) Information disclosure and public consultation.
- e) Grievance redress procedures, results of resolving complaints.
- f) Arising problems in the process of resettlement.
- g) Cost estimate for compensation and resettlement plan in the coming time.

12.2. Independent Monitoring

215. Independent monitoring will be conducted by the consulting organization/ non-governmental organization (NGO) experienced in monitoring and evaluation of the implementation of the socio-economic survey. The Project Management Unit will sign a contract with the independent monitoring organization. The implementation of project independent monitoring will be funded by the official development assistance (ODA) for project. The

Independent monitoring organization will report every 6 months on the progress and give relevant recommendations to solve any issues arising in the process of monitoring.

216. The main monitoring indicators are:

- a. Compensation payment and assistance for affected households in accordance with compensation policy described in RP;
- b. Technical assistance, resettlement assistance and allowances;
- c. Income restoration and entitlements to allowances;
- d. Information disclosure and public consultation;
- e. Grievance and Grievance redress procedures, problems to be resolved;
- f. Progress of land acquisition.

Methodologies and approaches:

Sample Survey

217. A socio-economic survey will be required before, during and after resettlement implementation to provide a clear comparison of success/failure of the resettlement plan. Monitoring will be on a sample basis. Scale of the survey sample may cover 50% relocated households and severely affected households, and at least 10% of the remaining households. Sample survey is implemented twice a year.

218. The sample surveys should include women, elderly, and other vulnerable groups. It should balance representation of male and female respondents.

219. Post-resettlement evaluation is implemented every 6 months, after completion of the resettlement activities. Independent monitoring agency will be responsible for: (i) reviewing the documents on compensation, assistance and (ii) work with the City Resettlement Council (CRC) and local authorities to collect necessary information and data, (iii) interviews with the people and (iv) group discussions.

Collecting data

220. The IMA will store information on monitoring of resettlement, include the results of independent monitoring, collect and update basic information about the affected households. All the collected and updated data will be submitted to the PMU, the managing agency and the World Bank.

Monitoring report

221. The monitoring report will be presented during the meeting between the independent monitoring agency (IMA) and PMU immediately after submitting the report. The settlement plan will be implemented based on the arising problems are outlined in the report and discussions

222. Independent monitoring reports made before, during and after resettlement. This report should reflect contents:

- Verify the internal monitoring results
- Assess whether the resettlement objectives have been achieved or not; how income resources and living standards of the project affected households are restored and improved?
- Considering whether the entitlements of resettlement are appropriate with conditions of project affected households and meet the resettlement objectives or not.
- Evaluate the effectiveness, impacts and sustainability of the resettlement; lessons learnt for the planning and developing the future resettlement policy

Post-resettlement evaluation

223. In fact, this is the evaluation at the specified time on the impacts of resettlement and the objectives achieved. Independent monitoring agency will evaluate the resettlement process and impacts after from 6 to 12 months after completing all resettlement activities. Evaluation questions used based on the data in the database system of project and sample questions used in monitoring activities.

224. If this evaluation determines that households' livelihoods have not been restored appropriately with the objectives of the project, an additional fund will be provided to continue support for households above. The Independent Monitoring Report will be not only sent to PMU, but also sent directly to the World Bank for following/supervising the progress and effectiveness of the compensation. Or in other words, when a project is not finished, the World Bank will continue monitoring until resettlement activities as mentioned in the Resettlement Plan have been implemented. When project is completed, the implementation completion report of project (ICR) will assess the achievements of the resettlement and the lessons learnt and will be incorporated in the evaluation of PMU. This requirement is stated in OP/ BP 4.12, paragraph 12.24. If this evaluation determines the objectives of the resettlement have not been achieved as expected, the ICR will assess the appropriateness of resettlement measures that could be proposed with measures in next time, include follow-up monitoring by the World Bank. The contents of the ICR for next part will be made based on the socio-economic survey of affected households, this survey was conducted at the end of the project (or completion of sub-project), and given the impacts of land acquisition and the impacts on livelihoods for affected households.

225. According to the screening results of linked projects, there is one linked project that is the resettlement site in Me Thong village, Liem Chinh ward to allocate land plots for relocated households under the MCDP project. Currently, the site clearance compensation was completed. However, there are some gaps in compensation rate between the compensation policies for households affected on land and non-land assets, structures in accordance with the compensation

plan approved in 2016 and policies of the MCDP project, therefore, the Consulting unit's coorrective action plan is that additional compensation and assistance for land and non-land assets so that households are supported 100% of compensation value in compliance with the MCDP project's policy. This issue will be considered by the Independent Monitoring Agency to evaluate compliance level to ensure that affected households of the linked projects will receive full compensation and assistance in accordance with the approved framework under MCDP project.

13. COSTS ESTIMATE

13.1. Capital resources

226. RP will include details of the cost of compensation and assistance and resettlement specifying categories of land (agricultural land, residential land, etc.), type of works and other impacts. Funds for resettlement implementation of the project are prepared according to the land prices in Ha Nam province, applied within 05 years (from 2015 to 2019).

227. In the project implementation, an independent valuation agency will conduct surveys the replacement cost for affected land, asset and crops. The agency will establish a basic replacement cost to Ha Nam Province People's Committee decides the compensation ratio in line with market prices

228. Financial resources for the various activities of the resettlement plan are given in the table. The fund for implementation resettlement plan is calculated on counterpart fund, except the fund for independent monitoring implementation will be come from credit.

229. The budget for the implementation of the Resettlement Plan will be part of the counterpart fund of Government (budget from the Phu Ly city People's Committee). Phu Ly City People's Committee will provide counterpart funds for the implementation of compensation and resettlement, and will be included in the total investment cost of the project.

230. The PMU of Phu Ly City will disburse funds for land acquisition, support and resettlement of the project through the City Land fund development center (City clearance sites compensation board). This center will pay directly to affected households of the Project,

13.2. Replacement cost survey

❖ Replacement cost study

231. The important objective of replacement cost study is to ensure compensation rates for all affected assets at replacement cost. This objective can be achieved through detailed surveys of market and/or other elements such as production capacity, equivalents, values of replacement assets, and disadvantages of displaced persons..., and simultaneous comparison with and evaluation about compensation rates issued by Provincial People's Committees.

- Determination of land price at the present
- Determination of plants and crops at the present
- Determination of unit prices of materials and houses and structures construction workers at the present
- Preparation of replacement cost solutions for land, assets, trees and crops as of the date of study

232. Replacement cost survey has been conducted by the Consulting Team through numerous channels such as interviews with households living in affected areas and neighboring areas, local officials, local real estate agencies from August 5, 2016 to August 20, 2016. Replacement cost survey has been conducted through:

- Direct communications with households living in affected areas and neighboring areas to collect information about land price, works assessment based on actual local conditions through utilization of a set of structured questionnaires to search for information about land prices and asset costs located within the area;
 - Communications with local authorities, determination of lands, crops, and other assets in affected areas, collection of legal documents issued, including sets of unit prices of land and other assets (inclusive of assistances)
 - Communications with local real estate agencies, access to local real estate websites for information search.
- ❖ Replacement cost survey results are the following:

Compensation rate for land:

- For agricultural land: There have been almost no transfers and trading of agricultural land and other types of land over the past few years. Agricultural land transfers only take place within families, namely relatives without (or not yet) certified by People's Committees of communes/wards, thus it is impossible to determine prices of such transfers.
- For residential land: Some households living in communes had residential land and garden transactions, but mostly facade land and center land of communes/wards.
 - + In Me Noi Village, Liem Chinh ward: Several new purchases of lands at the end of 2015 were made at a cost of 4,500,000 – 5,500,000 VND/m², in the position of Tran Hung Dao road this price is about 8,000,000 – 10,000,000 VND/m². According to their estimation, this is popular cost of land plot in area and costs will be maintained in this year.
 - + In Liem Tuyen commune: the different position of land have different prices, the land position in village area has a price of about 1,000,000 VND/m². For other places, according to the evaluation of households, the market price in August 2016 was about 3,500,000 – 5,000,000 VND/m²
 - + In Lam Ha ward: The different positions of land also have quite different prices, the land position in village area has a price of about 980,000-2,000,000 VND/m². According to local people assessment, the compensation rates issued by the PPC (Decision No.50/2014/QD-UBND) are close to actual land prices at the locality.

Compensation rate for structures

- The finding out unit prices for architectures of affected areas faces many difficulties. Recently, prices of construction materials fluctuate erratically. Due to the diverse types of housing structures in the province, applied compensation rates will be calculated for each items accordingly.
- For structures, Ha Nam PPC issued the Decision No. 32/2015 QD-UBND dated 24th December 2015 on promulgating the compensation rate for houses, structures, buildings and graves when the State acquires land in Ha Nam province in 2016.
- As for structures owned by local households, without depreciation deduction the PPC issued compensation rates are equivalent to new construction cost and close to replacement cost of the structure..

Compensation rates for crops and livestock

- In respect of crops and livestock, the Provincial People's Committee issued Decision No.49/2014/QD-UBND dated November 20th, 2014 regarding issuance of compensation rates for crops and livestock in case of land acquisition by the State, including detailed unit prices for each crops. Compensation rates are based on market price survey of Ha Nam Department of Construction.
- The survey results of the Consulting unit showed that market prices of crops and livestock in Ha Nam province are stable for recent 2 years, especially prices of crops and vegetables. For fruit trees and timber trees, there is no great fluctuations. Therefore, the Consultant applied these compensation rates for trees and crops according to the current rate issued by Ha Nam PPC as a basis for cost estimate of compensation for households impacted with crops and trees affected by the project. During the application of compensation rate for each type of affected trees and crops, the Consultant proposed application of compensation rates higher than those stipulated in Decision No. 49/QD-UBND dated 20 November 2014 to ensure compensation rates for affected households close to replacement cost. However during the actual compensation process, an independent valuation agency should be hired to conduct survey to determine replacement cost at time of compensation.

❖ Conclusion and recommendations

233. Establishment of compensation rates as a result of land acquisition and site clearance in Ha Nam Province has been carried out every year with adjustments according to market fluctuations.

234. In areas affected by the Project, the alignments basically affect land managed by the Commune/Ward People's Committees, agricultural land and a part of residential land. In such

areas, there is almost no real estate market and few trading transactions relating to land and non-land assets;

235. Therefore, in the process of preparing RP, the Consultant conducted replacement cost survey and apply compensation rates for affected land and non-land assets for affected households to ensure compensation rates close to replacement cost. However, during the process of implementing the project, there should be an independent valuation agency to conduct replacement cost survey for affected land, properties and crops affected by the Project. The agency will establish a replacement cost as a basis for Ha Nam Province People's Committee to made decision on the compensation rate close to market prices.

❖ **Recommended compensation rates to be applied:**

236. Proposed compensation rate for land:

For agricultural land: Base on productivity, the Consulting Team recommends to apply compensation based on unit price approved by Ha Nam Provincial People's Committee in accordance with Decision No. 50/2014/QĐ-UBND dated December 19, 2014; price is applied for agricultural land used for annual crops and aquaculture, which is 58,000 VND/m², 70,000 VND/m² for land used for perennial crops.

For residential land:

Location	Compensation rates based on Decision No. 50/2014/ QĐ – UBND (VND)	Proposed unit price (VND)
Liem Chinh ward	Segment of Tran Hung Dao road: 4,000,000 ÷ 5,500,000 VND/m ² Inter-village roads, alleys: 980,000 ÷ 1,500,000 VND/m ²	Segment of Tran Hung Dao road: 5,500,000 VND/m ² Inter-village roads, alleys: 1,500,000 VND/m ²
<i>Lam Ha ward</i>	Nguyen Chi Thanh road: 3,500,000 ÷ 4,500,000 VND/m ² Inter-village roads, alleys: 980,000 ÷ 2,000,000 VND/m ²	Nguyen Chi Thanh road: 4,500,000 VND/m ² Inter-village roads, alleys: 2,000,000 VND /m ²
Quang Trung ward	Inter-village roads, alleys: 1,300,000 ÷ 1,500,000 VND/m ²	1,500,000 VND/m ²

Liem Tuyen commune	- Segment 491: 2,000,000 ÷ 4,000,000 VND/m ² Inter-village roads, alleys: 860,000 ÷ 1,000,000 VND/m ²	Segment 491: 5,500,000 VND/m ² Inter-village roads, alleys: 1,500,000 VND/m ²
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237. Compensation rate for houses and structures: Applying the compensation rates approved by Ha Nam Provincial People's Committee at time of land acquisition;

238. Compensation rate for crops and livestock: Applying the compensation rates equal to replacement cost approved by Ha Nam Provincial People's Committee at time of compensation;

239. When calculating of compensation, compensation rates will be updated to reflect replacement costs and replacement costs attributable to the compensation made to affected households. The compensation rates will be determined by an independent appraiser before the application for payment of compensation for affected organizations/individuals.

13.3. Cost estimate

240. Cost estimate for RP implementation includes:

- a. Cost for the compensation, assistance and resettlement: includes of the items which were described in the entitlement matrix.
- b. Cost for independent monitoring:
 - Cost of independent monitoring of RP implementation is estimated at 1% of total cost of stage of DMS, compensation and restoration support.
 - The independent monitoring consultant will prepare the technical and financial proposals for bidding. Actual cost will be decided through contract value for independent monitoring consultant.
- c. Cost for compensation, assistance and resettlement included costs of detailed measurement survey, land acquisition documentation, independent valuation cost, etc. It is estimated at 2% in maximum of total cost of compensation and restoration support.
- d. Contingency: The rate for contingency should be at about 10% of total cost of compensation and RP preparation. The contingency will be used in cases of adjusted compensation rates due to inflation, or any adjustments during implementation of the approved RP.

241. Total estimated cost for RP implementation is presented in table below:

Table 13.1: Total estimated cost for RP implementation

No.	Item	Unit	Quantity	Unit price	Amount Exchange rate: VND 22,214 = US\$. \$ 1	
					VND	US\$
I	Upgrading infrastructure for the residential area in the North Quang Trung ward				8,914,128,000	401,284.24
1	Compensation for land	m ²	4,300	1,500,000	6,450,000,000	290,357.43
2	Compensation for house				1,777,470,000	80,016
	- Semi-permanent house	m ²	662	2,685,000	1,777,470,000	80,016
3	Compensation for structures				368,208,000	16,575
	- Brick wall	m ²	435	762,000	331,470,000	14,922
	- Concrete yard covered by cement	m ²	234	157,000	36,738,000	1,654
4	Compensation for grave relocation	pcs	10	5765000	57,650,000	2,595
5	Compensation for crops, trees				85,800,000	3,862
	- Fruit trees	tree	215	360,000	77,400,000	3,484
	- Timber trees	tree	100	84,000	8,400,000	378
6	Movement allowance	HH	5	10,000,000	50,000,000	2,251
7	House renting allowance	Month/ HH	40	2,000,000	80,000,000	3,601
8	Support for vulnerable HH	HH	2		9,000,000	405
	— Poor HH	HH	1	6,000,000	6,000,000	270
	- Policy preferential HHs, elderly HHs	HH	1	3,000,000	3,000,000	135
9	Bonus for timely hand over	HH	12	3,000,000	36,000,000	1,621
II	Construction of Phu Van kindergarten in Phu Van commune, Phu Ly city				1,298,212,000	
1	Compensation for agricultural land	m ²	10,803	58,000	626,574,000	28,206.27
2	Compensation for crops				27,445,000	1,235.48
	- Corn	m ²	3,498	5,000	17,490,000	787.34
	- Crinum asiaticum	m ²	905	11,000	9,955,000	448.14
3	Subsistence allowance	m ²	4,803	15,000	72,045,000	3,243.22
4	Vocational training allowance	m ²	4,803	116,000	557,148,000	25,080.94
5	Support for vulnerable HH	HH	4		15,000,000	675.25
	— Poor HH	HH	1	6,000,000	6,000,000	270.10

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No.	Item	Unit	Quantity	Unit price	Amount Exchange rate: VND 22,214 = US\$. \$ 1	
					VND	US\$
	- Policy preferential households, elderly HHs	HH	3	3,000,000	9,000,000	405.15
6	Bonus for timely hand over	HH	22	3,000,000	66,000,000	2,971
III	Upgrading Lam Ha 1 regulation lake, Lam Ha ward				22,994,141,000	1,035,119
1	Compensation for land				15,109,960,000	680,200
	- Residential land in residential area	m ²	1,057	2,000,000	2,114,000,000	95,165
	- Residential land in facade on Nguyen Chi Thanh road		2,756	4,500,000	12,402,000,000	558,297
	- Agriculture land	m ²	9,745	58,000	565,210,000	25,444
	- Aquaculture land	m ²	575	50,000	28,750,000	1,294
2	Compensation for house				4,182,211,000	188,269
	- Permanent house	m ²	587	4,673,000	2,743,051,000	123,483
	- Semi-permanent house	m ²	536	2,685,000	1,439,160,000	64,786
3	Compensation for structures				1,436,455,000	64,664
	- Rock wall	m ²	715	1,105,000	790,075,000	35,567
	- Brick wall	m ²	648	762,000	493,776,000	22,228
	- Concrete yard covered with cement	m ²	972	157,000	152,604,000	6,870
4	Compensation for trees and crops				418,920,000	18,858
	- Fruit trees	tree	1,082	360,000	389,520,000	17,535
	- Timber trees	tree	350	84,000	29,400,000	1,323
5	Movement allowance	HH	21	10,000,000	210,000,000	9,453
6	House renting allowance	Month/ HH	168	2,000,000	336,000,000	15,126
7	Subsistence assistance	m ²	9,745	15,000	146,175,000	6,580
8	Vocational training allowance	m ²	9,745	116,000	1,130,420,000	50,888
9	Support for vulnerable HH	HH	5		24,000,000	1,080
	— Poor HH	HH	3	6,000,000	18,000,000	810
	- Policy preferential HHs, elderly HHs	HH	2	3,000,000	6,000,000	270
10	Bonus for timely hand over	HH	56	3,000,000	168,000,000	7,563

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No.	Item	Unit	Quantity	Unit price	Amount Exchange rate: VND 22,214 = US\$. \$ 1	
					VND	US\$
IV	Construction of Chau Giang river southern embankment from Liem Chinh bridge to Cau Gie-Ninh Binh expressway				33,936,987,000	
1	Compensation for land				25,757,752,000	1,159,528
	- Residential land				12,402,000,000	558,297
	Liem Chinh ward	m ²	2,755	1,500,000	4,132,500,000	186,031
	Liem Tuyen commune	m ²	5,513	1,500,000	8,269,500,000	372,265
	- Agricultural land	m ²	16,444	58,000	953,752,000	42,935
2	Compensation for house				3,237,910,000	145,760
	- Permanent house	m ²	284	3,365,000	955,660,000	43,021
	- Semi-permanent house	m ²	850	2,685,000	2,282,250,000	102,739
3	Compensation for structures				1,206,456,000	54,311
	- Rock wall	m ²	281	1,105,000	310,505,000	13,978
	- Breeding facilities	m ²	1,001	705,000	705,705,000	31,768
	- Brick wall	m ²	570	762,000	434,340,000	19,553
	- Concrete yard	m ²	423	157,000	66,411,000	2,990
4	Compensation for trees and crops				1,071,705,000	48,245
	- Fruit trees	tree	1,986	360,000	714,960,000	32,185
	- Timber trees	tree	432	96,000	41,472,000	1,867
	- Bamboo	tree	15,013	21,000	315,273,000	14,193
	- Corn	m ²	1,022	5,000	5,110,000	230.04
5	Movement allowance	HH	11	10,000,000	110,000,000	4,952
6	House renting allowance	Month/ HH	168	2,000,000	336,000,000	15,126
7	Subsistence allowance	m ²	16,444	15,000	246,660,000	11,104
8	Vocational training allowance	m ²	16,444	116,000	1,907,504,000	85,869
9	Support for vulnerable HH	HH	16		63,000,000	2,836
	- Poor HH	HH	5	6,000,000	30,000,000	1,350
	- Policy, elderly HH, women-headed households	HH	11	3,000,000	33,000,000	1,486
10	Bonus for timely hand over	HH	88	3,000,000	264,000,000	11,884

Medium Cities Development Project - Phu Ly City Subproject
Resettlement Plan

No.	Item	Unit	Quantity	Unit price	Amount Exchange rate: VND 22,214 = US\$. \$ 1	
					VND	US\$
V	Upgrading Tran Hung Dao road from Liem Chinh bridge to Cau Gie-Ninh Binh expressway					45,105,952,000
1	Compensation for land				32,129,996,000	1,446,385
	- Residential land	m ²	5,809	5,500,000	31,949,500,000	1,438,260
	- Agricultural land	m ²	3,112	58,000	180,496,000	8,125
	- Aquacultural land	m ²	2,100	50,000	105,000,000	4,727
2	Compensation for house				11,055,424,000	497,678
	- Permanent house	m ²	1,358	4,673,000	6,345,934,000	285,673
	- Semi-permanent house	m ²	1,754	2,685,000	4,709,490,000	212,005
	- Temporary house	m ²	267	2,430,000	648,810,000	29,207
3	Compensation for structures				487,327,000	21,938
	- Breeding facilities	m ²	335	705,000	236,175,000	10,632
	- Brick wall	m ²	241	762,000	183,642,000	8,267
	- Concrete yard	m ²	430	157,000	67,510,000	3,039
4	Compensation for the other structures				197,876,000	8,908
	Power pole	pole	24	5,000,000	120,000,000	5,402
-	Additional compensation for 18 households in Liem Chinh resettlement site	-			77,876,000	3,506
5	Compensation for trees, crops				222,657,000	10,023
	- Fruit trees: logan, Dracontomelon duperreanum Pierre	tree	168	360,000	60,480,000	2,723
	- Fruit trees: banana	Bush	353	120,000	42,360,000	1,906.91
	- Timber trees	tree	120	96,000	11,520,000	519
	- Bamboo	tree	5,157	21,000	108,297,000	4,875
6	Transport allowance	HH	16	10,000,000	160,000,000	7,203
7	House renting allowance	Month/ HH	128	2,000,000	256,000,000	11,524
8	Subsistence allowance	m ²	3,112	15,000	46,680,000	2,101
9	Vocational training allowance	m ²	3,112	116,000	360,992,000	16,251
10	Support for vulnerable group	HH	8		33,000,000	1,486

Medium Cities Development Project - Phu Ly City Subproject
Resettlement Plan

No.	Item	Unit	Quantity	Unit price	Amount Exchange rate: VND 22,214 = US\$. \$ 1	
					VND	US\$
	- Poor HH	HH	3	6,000,000	18,000,000	810
	- Policy preferential households, elderly HH, women-headed HH	HH	5	3,000,000	15,000,000	675
11	Bonus for timely hand over	HH	52	3,000,000	156,000,000	7,023
VI	Independent monitoring = 1% (I+II+III+IV+V)				1,122,494,200	50,531
VII	Management cost = 2% (I+II+III+IV+V)				2,244,988,400	101,062
VII I	Total: I+II+III+IV+V+VI+VII				115,616,902,600	5,204,686
IX	Contingency (10% total)				11,561,690,260	520,469
	Total				127,178,592,860	5,725,155

242. Estimated cost for RP implementation of the project is **VND 127,178,592,860** (equivalent to **US\$ 5,725,155**).

APPENDIXES

Appendix 1: Due diligence review of linked project

SUMMARY OF COMPENSATION AND SITE CLEARANCE ACTIVITIES OF RESETTLEMENT SITE SERVING SITE CLEARANCE FOR PROJECTS IN PHU LY CITY

I. Overview

Liem Chinh is a ward in the southeastern area of Phu Ly City. Liem Chinh Ward was established in 2013, originally being Liem Chinh Commune with many great projects in its area such as Cau Gie – Ninh Binh expressway Project, Ring Road – Branch 1 (42m) Project, Viet Duc Hospital Project, Bach Mai Hospital Project, etc.

Because of implementation scale of these projects, residential areas and agricultural areas are partly divided and isolated. A HH may be involved in many projects to be affected by residential land, agricultural land, on-land asset, etc.

According to the detailed planning of Phu Ly City approved in October, 2009 and the demand on using land for the construction work, as well as the full-scale assessment of the rest of land in villages and communes, Ha Nam provincial People's Committee agreed policies to acquire the entire area of agricultural land in Liem Chinh, Lam Ha commune and Quang Trung to serve the construction investment and to manage the area of agricultural land in the province as well as to facilitate the delivery of service land for the households.

Currently, there are several projects which have been and being invested in Phu Ly City in recent years. Screening results showed that there is one linked project, that is the resettlement site in Me Thuong village, Liem Chinh ward, to allocate land plots for relocated households. Therefore, it is essential to assess the compensation, clearance of the linked project. The objective of the evaluation of the linked project is to evaluate and review whether the implementation of compensation and support for the affected households since 2005 has complied with the policies of the GoV or not; whether the compensation and support for affected households in 2016 has been carried out in accordance with policies of the World Bank's OP4.12 or not.

II. Manitude of land acquisition impacts

The resettlement site used for site clearance of Phu Ly project is in Me Thuong village, Liem Chinh ward. The resettlement site has 77 land plots, the average area of each lot is 70-80 m²; the proposed price list of resettlement land plots to be allocated to the affected people is from VND 3.3 million to 4.5 million/ m². This resettlement site had been mostly cleared in 2005 (by located in another project). Then in 2011, the site was transferred to the resettlement and auction land fund managed by the city's Land Fund Development Center (LFDC).

According to the site clearance compensation plan of the project approved in September 2005, total number of affected households was 37, of which 34 households are affected on (34 households affected on agricultural land and 4 households affected on residential land)⁴, 3 households affected on crops due to cultivation on land managed by CPC. However, up to June 2016, the city People's Committee issued a decision on approving the compensation plan for affected land and non-land assets for 18 affected households (of which 1 household are affected on residential land and 17 households are affected on structures and crops on the illegalizable land but located in the same legalizable land plot). Therefore, total number of affected households is 55 households, of which 35 households are permanently affected on land (34 households affected on agricultural land and 5 households affected on residential land)⁵ and 20 households are affected on non-land assets.

Impacts of the project are summarized in the table bellowed:

Table 1: Summary of Scope of impacts

Items	Unit	Scope of impacts
1. Affected Households (AHs):	HHs	55
Household members	People	231
Of which		
+ Households impacted with residential land	HHs	5
<i>Partial loss of structures HH</i>	HHs	5
<i>Wholly affected main housing HH (relocated HH)</i>	HHs	0
+ Households impacted with agricultural land	HHs	34
+ Households impacted with other land (managed by the ward/commune People's Committee)	Unit	1
2. Affected Area	M2	13,477.1
Of which:		
+ Residential Land	m2	319.5
+ Agricultural Land	m2	8,569.6
+ Other Land (public land)	m2	4,588
+ Temporarily housing area	m2	25.65
3. Physical Relocated households	HHs	0
4. Households impacted with structures	HHs	16
5. Affected households on trees and crops	HHs	55

⁴ There are 4 households affected on both residential and agricultural land Therefore, total number of households affected by each type of land might be greater than the actual number of AHs.

⁵ There are 4 households affected on both residential and agricultural land Therefore, total number of households affected by each type of land might be greater than the actual number of AHs.

Items	Unit	Scope of impacts
5. Households losing 20% or more of total agricultural landholdings or 10% or more for vulnerable group	HHs	0
6. Affected business households	HHs	0
7. Vulnerable households	HHs	0

(Note: Several households might have more than one type of land, therefore, total number per land type may be greater than total actual number of AHs)

Impacts of land acquisition

Total acquired land area in 2005 and 2016 was **13,477.1** m², including: 8,569.6 m² agricultural land, 319.5 m² residential land and 4,588 m² public land managed by Liem Chinh Ward People's Committee. Total number of affected households was 55.

Out of 5 households affected on residential land, these households are marginally affected on land. No household has to relocate or resettle.

Out of 34 households affected on agricultural land, no households lost 20% or more of agricultural land area. There were also no vulnerable HHs affected

Impacts on structures

There are 16 households affected on structures, of which 5 households are affected on residential land where structures are affected and 11 households are affected on structures built on illegalizable land (managed by the Ward People's Committee).

Out of 5 households impacted with residential land, one household is impacted with housing. However, this house is temporary one with asbestos cement roof. Households are only partially affected on structures, including 173.8 m² of fence walls and 129m² of cement yard, 41 m² of sheds. In addition, there are some other affected structures such as drainage pipes, wells, brick gate piers and fence made of B40 mesh.

Impacts on trees and crops

According to results from compensation plans for affected households, there are 341 fruit trees in various kinds (Dracontomelon duperreanum, longan, banana, etc.), 112 timber trees. In addition, there are approximately 10,003 m² of crops (rice, vegetables) affected by the project. Total number of households affected on trees and crops is 55 households.

III. Compensation plans:

❖ Compensation plans in 2005

For 32 households received compensation payments since 2005, including: 4 households affected on land in residential area, 29 households affected on agricultural land and 3 households affected on crops on public land)⁶.

Land area acquired in 2005 was 10,850.1 m², (about 80.5% of the total site area) including: 6,953.6 m² agricultural land, 314.5 m² residential land and 3,582 m² public land managed by Liem Chinh Ward People's Committee

The compensation plans for 37 households affected on residential land, agricultural land, trees and crops have been evaluated by the city clearance site compensation council and approved by Phu Ly City People's Committee under the Decision No. 496/QĐ – UB dated 12 September 2005, the total compensation and assistance is VND 502,342,932. The compensation rate for land, assets, structures and trees, crops on the land and the support price were issued by Ha Nam Provincial People's Committee in 2004 and agreed by the affected people by then. After the compensation and assistance plan for affected households is approved, the City Resettlement Council coordinated with the Client (Minh Khoi Limited Company) made compensation payment for 32/37 affected households (of which 29 households are affected on land and 3 households are affected on crops). There are 5 households affected on agricultural land (with an area of 1,616m²) have not been paid by the Client at time of compensation payment in 2005 due to lack of fund.

❖ Compensation plans in 2016

Total number of affected households was 23, including: 1 households affected on land in residential area, 5 households affected on agricultural land and 17 households are affected on structures and crops on the illegalizable land but located in the same legalizable land plot.

Total acquired land area in 2016 was 2,627 m², including: 1,616 m² agricultural land, 5 m² residential land and 1,006 m² public land managed by Liem Chinh Ward People's Committee

In April 2014, the project continued implementing the compensation payment. Due to long-time pending, Phu Ly CPC approved the Statement No 555/TTr – HDBTGPMB dated 12 December 2014 on adjustment of the compensation plan for households impacted with agricultural land who have not been paid in 2005 in accordance with Land Law 2013. In April, 2016, Phu Ly City People's Committee has issued Decision No. 1079/QĐ-UBND dated 29 April 2016 on approving the additional compensation and assistance plan for agricultural land when the State acquires land for implementing the Project for the remaining 5 AHs with total funding of VND 265,093,830.

On June 21, 2016, Phu Ly CPC also issued Decision No. 1571/QĐ-UBND on approving the compensation plan for land, housing and structures for 18 affected households (of which one household is impacted with residential land, 17 households are impacted with structures and trees

⁶ There are 4 households affected on both residential land and agricultural land, therefore, total number of households affected by each type of land might be greater than actual number of AHs.

on illegalizable land but located in the same legalizable land plot) with total fund of VND 100,299,164.

IV. Compensation payment and cleared site hand-over:

By June, 2016, 100% of site clearance was completed. LFDC signed technical infrastructure construction contract on 18 August 2016 to develop the site's infrastructure. Estimated completion time of infrastructure development is Quarter IV of 2016, and resettlement arrangement will be ready by December, 2016.

V. Surveying, evaluation results of site clearance

In the process of surveying and assessing satisfaction about the project policies as well as ability of livelihood restoration of HHs affected by land acquisition for development of resettlement site serving site clearance for the projects in Phu Ly City, Consultant surveyed 18 (accounting for 33%) out of 55 AHs in Me Thuong Village of Liem Chinh Ward. Out of 18 surveyed households, 5 households are impacted with residential land, 10 households are impacted with agricultural land and 3 households are impacted with trees and structures. Detailed information about AHs as well as compensation, site clearance for development of resettlement site serving site clearance for the projects in Phu Ly City is provided below:

❖ Demographic features

Of the 18 surveyed HHs, there's no HHs with members being ethnic minority people, with average number of HH members being 4.2 persons/HH. Average number of main laborers of each HH is 2.1 people. The following table provides detailed description about the surveyed AHs:

Table 1: Demographic features of surveyed HHs

Village/commune	Number of HHs	Number of HH members	Ethnic minority person (%)	Average number of HH members/HH	Average number of main employee/HH
Me Thuong	18	76	0	4,2	2,1

❖ Educational level

Generally the AHs in the project area have relatively high educational level, with no HHs illiterate. Educational level of the surveyed HH is presented in detail in the following table:

Table 2: Educational level of surveyed HHs

Village	Illiterate	Primary school	Secondary school	High school	College - University	Total
Me Thuong	0	2	4	8	4	18
Total	0	2	4	8	4	18

Village	Illiterate	Primary school	Secondary school	High school	College - University	Total
Percentage %	0%	11.2%	22.2%	44.4%	22.2%	100%

❖ *Occupations of AHs*

Survey results show that of the 18 surveyed HHs, peasant HHs take smallest percentage (only 5.6%). Business HHs account for highest percentage (61.1%). Public servants account for 16.7%. Other occupations only take a small percentage. HH occupation percentages are shown in detail in the following table:

Table 3: Occupations of surveyed HHs

Main occupation of householder	Number of HHs	Percentage
Agriculture	1	5,6%
Trade/service	11	61,1%
Employee	2	11,1%
Stage official	3	16,7%
Other occupation	1	5,6%
Total	18	100%

❖ *Information closure*

Questionnaire survey results also show that of the 18 HHs surveyed using questionnaires, more than 18 HHs answered that they had been provided with project information (compensation plan, compensation policy, implementation time, project scale, etc.) 16 HHs had project information via meetings organized in the village. 2 HHs had project information from local government officials.

❖ *Detailed measurement survey (DMS)*

Affected HH surveying results show that most of the affected HHs are satisfied with the detailed measurement survey results. Out of 18 HHs engaged in questionnaire-based survey, 16 HHs said that the detailed measurement survey had been carried out publicly and transparently. 18 HHs say that the detailed measurement survey results are exact and sufficient. The inventory minutes provide sufficiently and in detail the degree of affectedness of the HHs.

❖ *Compensation rate*

Results of surveying on satisfaction level about the project's compensation rates showed that of the 18 surveyed HHs, 12 HHs said that they are satisfied with the project's compensation rates. The rest of 6 HHs said that these compensation rates are acceptable. According to the Decision on approving the compensation, support plan, besides compensations for land, trees, crops, the

HHs also received other supports such as: subsistence allowance, job changing and introduction support, etc. Therefore, 100% of the surveyed HHs had no complaints about compensation rates and all agreed with the project's compensation and assistance plans.

- *Compensation rate for 32 households in 2005*

The site clearance plan for agricultural land and residential area land was approved and implemented since 2005 in accordance with the compensation and assistance policies of Vietnamese laws at that time, of which 4 households are affected on land and assets in the residential area but no need disambling of main house and relocation, 34 households are affected on agricultural land and 3 households are affected on crops on public land. The compensation payment is as follows:

Affected land in the residential area		Affected agricultural land		Affected crops in public land	
No. of HHs	Paid HHs	No. of AHs	HHs paid in 2005	No. of AHs	HHs paid in 2005
4	4	34	29	3	3

(Notes: Several households lost more than one type of land, therefore, total number of Ahs per each type of land might be greater than actual number of AHs.)

At time of compensation, the Project Owner (Minh Khoi Company Limited) has not arranged fund for compensation payment for 5 households affected by agricultural land.

For 32 households received compensation payments since 2005, including: 4 households affected on land in residential area, 29 households affected on agricultural land and 3 households affected on crops on public land)⁷: Households have been compensated in accordance with the compensation policies of GoV and Ha Nam PPC at time of compensation. Extent of livelihood impacts on households is minor.

- *Compensation rate for 23 households in 2016*

For 5 unpaid households impacted with agricultural land in 2005, Phu Ly CPC issued a decision on approving the adjusted compensation plan and made compensation payment for these 5 households. Accordingly, these 5 households were compensated 100% for affected land and non-land assets at replacement cost at time of compensation with full assistance policies for households whose agricultural land is acquired. There is no difference on calculation method compared and fully complied with the RPF and RP approved under the MCDP project.

⁷ There are 4 households affected on both residential land and agricultural land, therefore, total number of households affected by each type of land might be greater than actual number of AHs.

Compensation rates applied to households are replacement costs approved by Ha Nam PPC, based on the land profitability since there are no agricultural land transfer in the city area. Specifically:

- Compensation for land: 58,000 VND/m²;
- One-harvest crops on rice land: 9,000 VND/m²(equivalent to value of 400kg of rice/360m² of field land and price unit of rice is 8,100 VND/kg).
- Subsistence allowance: 15,000 VND/m²;
- Job changing and vocational training allowance: 116,000 VND/m².

(iii) For 18 households compensated in June 2016, the additional compensation plan approved in June 2016 mainly mentions to planning justification, review remaining assets and crops within the land scope managed by the Ward People's Committee. This compensation plan has 1 household impacted with a small part of land with an area of 5m² of land in the residential area. 17 remaining households are impacted with assets and crops along the ditch, including earth path, ballast concrete pathway, some kinds of trees along the pathway. No household has to relocate or affected on major structures such as housing and kitchens, etc. These assets are supported for removal with an amount from 40-60% of compensation value. The compensation plan has difference on calculation method compared with the RPF and RP of the MCDP project.

- Compensation for land: At replacement cost approved by PPC and in accordance with the RPF of MCDP project and WB's OP 4.12;
- Compensation for non-land assets: Due to assets on public land, therefore, these households were only supported cost for clearing the site at 40-60% of replacement cost of assets.

Therefore, it was agreed that the CPC will review the compensation plan approved under Decision No. 1571/QD-UBND dated 21 June 2016 and make additional compensation and assistance payment for non-land assets with 100% of compensation value for affected households. Through the preliminary calculation, cost for additional compensation and assistance for 18 above households is VND 77,876,000 to ensure compliance as stipulated in paragraph 5.3.3 of this RP and ensure principles for evaluation and corrective actions for linked projects.

❖ *Livelihoods restoration:*

Results of surveying on the AHs as well as consultation with Liem Chinh Ward's authority showed that the major occupation of 55 affected households in Me Thuong is small business, handicraft and freelance worker. On the other hand, each household is only recovered a part of agricultural land and annual crops land (less than 20% of their landholding) so the land acquisition does not affect too much the livelihoods of households. Besides, in addition to compensation for land and property on land, affected households have received support for stabilizing life, switching careers and seeking job, so the HHs all agree and support the project.

❖ *Grievance and grievance redress mechanism:*

Via collecting information from households as well as local and grassroot authorities, there is no any record of complaints from households on the compensation rate, site clearance plans and implementation procedures; undetected cases of corruption, violations of the units responsible for implementing and coordinating site clearance.

CONCLUSION

Although there are 55 households whose residential land is acquired along with non-land assets, the extent of impacts on living conditions and livelihoods of households is minor. Affected households are aware of the importance and benefits of the development of the resettlement site serving site clearance for the project implemented in Phu Ly City as well as the projects are implemented in the city. Therefore all HHs agree and support the project. After completion of the project, the people will have advantage conditions for economic development, improve the living conditions in the developed, harmony and convenient urban area.

The review showed that the compensation in 2005 for 32 PAHs was fully in line with the Gov regulations and the land was acquired long time ago (about 80.5% of the total land area of the resettlement site was paid and acquired in 2005).

Since the rest of the land was acquired in 2016, it was agreed that the compensation should follow the project RPF/RP, so the City will review and approve additional compensation and assistance plan to ensure compliance with the WB's OP 4.12 and RPF/RP of the MCDP project.

Appendix 2: Minutes of Public Consultation Meeting

Dự án Phát triển các đô thị loại vừa tại Việt Nam – Tiểu dự án Thành phố Phủ Lý

UBND TP PHỦ LÝ CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
BAN QUẢN LÝ DỰ ÁN PHÁT TRIỂN ĐÔ THỊ PHỦ LÝ Độc lập – Tự do – Hạnh phúc

Hà nam, ngày tháng năm 2016.

BIÊN BẢN HỌP THAM VẤN CỘNG ĐỒNG VỀ KẾ HOẠCH TÁI ĐỊNH CƯ
Dự án Phát triển các đô thị loại vừa tại Việt Nam – Tiểu dự án thành phố Phủ Lý

Thời gian: Ngày tháng năm
Địa điểm:
Thành phần tham dự:

1. Đại diện BQLDA

Ông/bà: Chức vụ:
Ông/bà: Chức vụ:

2. Đại diện UBND xã/phường

Ông/bà: Chức vụ:
Ông/bà: Chức vụ:

3. Đơn vị tư vấn

Ông/bà: Chức vụ:
Ông/bà: Chức vụ:

4. Đại diện hộ gia đình:

Ông/bà: Địa chỉ:
Ông/bà: Địa chỉ:

Nội dung họp tham vấn:

1. Khái quát về điều kiện kinh tế xã hội, hạ tầng cơ sở tại địa phương

1

Dự án Phát triển các đô thị loại vừa tại Việt Nam – Tiểu dự án Thành phố Phủ Lý

2. Giới thiệu chung về dự án: quy mô, kế hoạch, nguồn vốn, thời gian thực hiện dự án...

3. Giới thiệu về các phương án kỹ thuật của dự án

4. Tham vấn ý kiến của cộng đồng về nhu cầu, mong muốn của cộng đồng liên quan đến các chính sách đền bù, tái định cư (nếu có).....

Ý kiến thảo luận:

Dự án phát triển các đô thị loại vừa tại Việt Nam -
Tiểu dự án thành phố Phủ Lý đầu tư xây dựng
thông thoáng hơn tại xã Phú Văn.
Thôn đất phải thu hồi để xây dựng trường mầm
non Phú Văn chủ yếu là đất nông nghiệp của các
hộ gia đình trên địa bàn thôn 2 và đất công ích
của UBND xã Phú Văn quản lý.
Qua trao đổi tham vấn, thành quyền địa
phương có một số ý kiến như sau:
- Chính quyền địa phương và người dân
đều đồng tình ủng hộ việc triển khai thực hiện
dự án và mong dự án sớm triển khai.
- Các hộ bị ảnh hưởng thu hồi đất đều đồng
tình ủng hộ dự án.
- Dân quê bãi thường phải được thực hiện
theo đúng quy định của Nhà nước.
- Phải thông báo cho người dân được biết về kế
hoạch, thời gian thực hiện dự án để các hộ bị
ảnh hưởng có kế hoạch canh tác phù hợp.

Dự án Phát triển các đô thị loại vừa tại Việt Nam – Tiểu dự án Thành phố Phủ Lý

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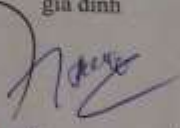
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Kết luận:

Chính quyền địa phương và các hộ gia đình BAH trên địa bàn xã phụ vấn đều nhất trí ủng hộ việc triển khai thực hiện dự án xây dựng trường mầm non phụ vấn.

Cuộc họp kết thúc vào hồi.....ngày.....tháng.....năm.....

Đại diện chủ đầu tư Đại diện đơn vị tư vấn Đại diện UBND xã/phường Đại diện hộ gia đình

CHỦ TỊCH
Phạm Phú Thăng Phạm Đức Hằng

3

Dự án Phát triển các đô thị loại vừa tại Việt Nam – Tiến dự án Thành phố Phủ Lý

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
 Độc lập – Tự do – Hạnh phúc

DANH SÁCH CÁC THÀNH VIÊN THAM DỰ

Thời gian:

Bắt đầu:..... h..... ngày..... tháng..... năm 2016

Kết thúc:..... h..... ngày..... tháng..... năm 2016

Địa điểm:

STT	Họ và tên	Địa chỉ/chức vụ	Chữ ký	Ghi chú
1.	Đào Văn Tiên	BT Đảng ủy	Tiên	
2.	Nguyễn Hà Hùng	PBT Đảng ủy	phur	
3.	Phạm Thu Thủy	CT UBND xã	Thủy	
4.	Ngô T. Thủy Ngân	PCT UBND xã	ngan	
5.	Nguyễn Minh Phương	PCT HĐND xã	phur	
6.	Nguyễn Văn Hùng	CT HTTR xã	huy	
7.	Chu T. Thu Thủy	BT Đoàn	han	
8.	Lê Thị Tuyết Thanh	CT Hội PV	thanh	
9.	Vũ Ngọc Thi	CT BCB Hội AN	thoi	
10.	Lại Khai Bình	CT CB	Bình	
11.	Nguyễn Thanh Sơn	CB GTTL	thanh	
12.	Lại Hồng Minh	CB VCCD	minh	
13.	Phạm Quới Hoàn	CA xã	hoan	
14.	Lại Văn Toán	Trưởng thôn 2	toan	
15.	Lại Văn Toán	Chủ thôn 2	toan	
16.				

Dự án Phát triển các đô thị loại vừa tại Việt Nam – Tiểu dự án Thành phố Phủ Lý

CỘNG HOÀ XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập – Tự do – Hạnh phúc

DANH SÁCH CÁC THÀNH VIÊN THAM DỰ

Thời gian: Bắt đầu:..... h..... ngày..... tháng..... năm 2016
Kết thúc:..... h..... ngày..... tháng..... năm 2016

Địa điểm:.....

STT	Họ và tên	Địa chỉ/chức vụ	Chữ ký	Ghi chú
1.	Phạm Thanh Trung	Thôn 2		
2.	Phạm Thị Quên	"		
3.	Nguyễn Thị Tăng	"		
4.	Lại Thị Huệ	"		
5.	Lại Thị Hòa	"		
6.	Phạm Thái Dũng	"		
7.	Phạm Tiến Dũng	"		
8.	Phạm Thị Bân	"		
9.	Lại Văn Thiên	"		
10.	Lại Văn Bân	"		
11.	Lại Văn Ý	"		
12.	Nguyễn Thị Xuân	"		
13.	Phạm Thị Liên	"		
14.	Phạm Văn Hoàng	"		
15.	Lê Văn Thảo	"		
16.	Phạm Đức Hùng	"		

4

Dự án Phát triển các đô thị loại vừa tại Việt Nam – Tiểu dự án Thành phố Phủ Lý

STT	Họ và tên	Địa chỉ/chức vụ	Chữ ký	Ghi chú
17.	Nguyễn Hà Thái	"	Thao	
18.	Nguyễn Văn Hiền	"	Hiên	
19.				
20.				
21.				
22.				
23.				
24.				
25.				
26.				
27.				
28.				
29.				
30.				
31.				
32.				

.....Ngày tháng năm 2016

Xác nhận của địa phương


 CHỦ TỊCH
Phạm Phú Thắng

Appendix 3: Questionnaire Template of Socio-economic survey

DỰ ÁN PHÁT TRIỂN CÁC ĐÔ THỊ LOẠI VỪA TẠI VIỆT NAM – TIÊU DỰ ÁN THÀNH PHỐ PHÙ LÝ

PHIẾU KHẢO SÁT KINH TẾ - XÃ HỘI

MÃ SỐ PHIẾU
[] [] []

Lời giới thiệu

Nhằm mục đích cung cấp các dịch vụ hạ tầng phát triển bền vững để phát triển kinh tế xã hội trong dài hạn của thành phố Phù Lý, Dự án Phát triển các đô thị loại vừa tại Việt Nam – Tiêu dự án TP Phù Lý đang tiến hành đánh giá tình hình kinh tế - xã hội của khu dân cư trong khu vực dự án, nơi ông/bà đang sống. Các ý kiến của ông/bà sẽ được sử dụng vào việc xây dựng dự án, góp phần đẩy nhanh tiến độ thực hiện dự án.

Mong ông/bà cung cấp các thông tin dưới đây, bằng cách đánh dấu (x) vào ô ☐ và điền thông tin vào chỗ trống.

Xin chân thành cảm ơn sự hợp tác của ông/bà!

Địa chỉ: Thôn/xóm.....Phù Dã..... xã/phường/thị trấn.....Lâm (Phù)..... thành phố Phù Lý, tỉnh Hà Nam.

Họ và tên điều tra viên:.....Lê Ngọc Đan..... Ngày điều tra.....

NẾU NGƯỜI ĐƯỢC PHỎNG VẤN KHÔNG PHẢI LÀ CHỦ HỘ, VUI LÒNG ĐIỀN VÀO Ô SAU:

Họ và tên người trả lời:..... <u>Đào Văn Cường</u>	Tuổi..... <u>60</u>
Giới tính..... <u>Nam</u>	Dân tộc..... <u>Kinh</u>

I. THÔNG TIN CHUNG:

1. Họ và tên của chủ hộ:.....Lê Thị Thê..... 2. Tuổi.....82.....

3. Giới tính: 1. ☒ Nam 2. ☐ Nữ

4. Dân tộc.....Kinh.....

5. Tổng số người trong hộ gia đình: ...7..... người.

Trong đó: 1. ☐ Số Nam: 4..... người; 2. ☐ Số Nữ: 3..... người

6. Số người trong hộ có việc làm ổn định:.....4..... người

7. Số người trong gia đình có khả năng lao động nhưng không có việc làm:.....3..... người

8. Trình độ học vấn của chủ hộ:

1. ☐ Mù chữ/chưa đi học. 4. ☐ Cấp 3

2. ☒ Cấp 1 5. ☐ Cao đẳng/đại học

3. ☐ Cấp 2 6. ☐ Trên Đại học

9. Nghề nghiệp của chủ hộ: (Chọn 1 phương án, việc làm chiếm nhiều thời gian nhất)

1. ☐ Cán bộ công chức nhà nước (cán bộ các ban ngành ở xã ăn lương nhà nước)

Bảng hỏi Điều tra kinh tế - xã hội Hộ gia đình, 2016 1/12

DỰ ÁN PHÁT TRIỂN CÁC ĐÔ THỊ LOẠI VỪA TẠI VIỆT NAM – TIÊU DỰ ÁN THÀNH PHỐ PHÚ LÝ

2. ☐ Các cán bộ khác ở địa phương (trưởng thôn, hội trưởng các hội quần chúng...)
3. ☐ Cán bộ hưu trí.
4. ☐ Chủ doanh nghiệp/ thầu khoán.
5. ☐ Nông dân (bao gồm cả diêm dân và nuôi trồng thủy sản)
6. ☐ Công nhân
7. ☐ Thợ thủ công.
8. ☐ Buôn bán/ dịch vụ/ chế biến nông lâm sản.
9. ☐ Công an/ bộ đội.
10. ☐ Làm thuê/ công việc không ổn định
11. ☒ Khác (ghi rõ): *Kết... Truất... Leo... đồng...*

10. Quan hệ với chủ hộ của người trả lời:

1. ☒ Chủ hộ 2. ☐ Vợ/chồng 3. ☒ Con 4. ☐ Bố/Mẹ 5. ☐ Ông/ bà

11. Trong gia đình có những đồ dùng sinh hoạt nào?

- | | |
|--|---------------------------------------|
| 1 <input type="checkbox"/> Bàn ghế gỗ cao cấp | 6 <input type="checkbox"/> Tủ lạnh |
| 2 <input checked="" type="checkbox"/> Xe máy | 7 <input type="checkbox"/> Máy giặt |
| 3 <input checked="" type="checkbox"/> Xe đạp | 8 <input type="checkbox"/> Điện thoại |
| 4 <input type="checkbox"/> Radio | 9 <input type="checkbox"/> Điều hòa |
| 5 <input checked="" type="checkbox"/> Tivi màu | 10 <input type="checkbox"/> Ô tô |

12. Ước tính thu nhập bình quân của hộ gia đình trong tháng: *3.000.000* đồng/hộ/tháng

13. Ước tính chi tiêu bình quân của hộ gia đình *600.000* đồng/hộ/tháng

14. Ông/bà tự đánh giá mức thu nhập của gia đình mình như thế nào?

1. ☐ Ổn định 2. ☒ Không ổn định

15. Ông/ bà tự đánh giá, liệu gia đình mình có thuộc nhóm dễ bị tổn thương không ?

- 1 ☒ Nghèo 2 ☒ Gia đình phụ nữ 3 ☐ Có người dân tộc thiểu số 4 ☒ Có người già và người tàn tật

II. ĐẤT ĐAI NHÀ Ở

16. Đất/nhà ở được sử dụng từ năm nào *Lâu...đi...?*

17. Nguồn gốc đất/nhà ở:

- | | |
|--|--|
| 1. <input checked="" type="checkbox"/> Thừa kế | 4. <input type="checkbox"/> Mua/tự xây cất |
| 2. <input type="checkbox"/> Được cấp | 5. <input type="checkbox"/> Khác..... |
| 3. <input type="checkbox"/> Nhà/đất thuê | |

DỰ ÁN PHÁT TRIỂN CÁC ĐÔ THỊ LOẠI VỪA TẠI VIỆT NAM - TIỂU DỰ ÁN THÀNH PHỐ PHÚ LÝ

18. Tổng diện tích đất ở mà hộ đang sử dụng:.....650.....m²
19. Tổng diện tích sàn nhà ở: 50.....m², tương đương:.....7..... m²/ người.
20. Loại nhà (ĐTV kết hợp quan sát)
1. ☐ Kiên cố (từ 2 tầng trở lên, tường gạch, mái bê tông cốt thép)
 2. ☒ Bán kiên cố (nhà 1 tầng, tường gạch, mái ngói)
 3. ☐ Nhà gỗ, lợp lá (Nhà có vách gỗ, mái gỗ/lá)
 4. ☐ Nhà tạm (nhà tranh tre, che chắn bằng gỗ/toile)
 5. ☐ Khác (nhà chung cư cao tầng)
21. Giấy tờ sở hữu (ĐTV kết hợp quan sát)
1. ☒ Sổ (bìa) đỏ/Giấy hồng
 2. ☐ Giấy phân/cấp nhà do cơ quan cấp
 3. ☐ Giấy chứng nhận mua nhà/đất tạm thời
 4. ☐ Hợp đồng thuê nhà
 5. ☐ Không có loại giấy chứng nhận nào
 6. ☐ Khác.....

III. HIỆN TRẠNG GIAO THÔNG VÀ CẤP ĐIỆN:

22. Đặc điểm của con đường (hoặc ngõ) dẫn đến nhà ông, bà:
1. ☐ Rải nhựa
 2. ☐ Bê tông
 3. ☒ Đá, sỏi, gạch, xi
 4. ☐ Đất
23. Chất lượng con đường liên phường/xã:
1. ☐ Nói chung là tốt
 2. ☐ Hay bị ngập úng/lầy lội
 3. ☒ Đường hẹp
 4. ☐ Mặt đường thấp
 5. ☒ Gồ ghề khó đi lại
 6. ☒ Không có điện chiếu sáng
24. Gia đình ta sử dụng nguồn điện:
1. ☒ Điện lưới có đồng hồ đo điện riêng:
 2. ☐ Mắc nhò/chung với gia đình khác:
 3. ☐ Chưa có điện dùng
25. Tần suất cắt điện?
1. ☒ Rất ít khi bị cắt
 2. ☐ Cắt 1-2 lần/tháng
 3. ☐ Cắt 3-5 lần/tháng
 4. ☐ Cắt trên 5 lần/tháng
 5. ☐ Không rõ
26. Cường độ của dòng điện ông bà đang sử dụng?
1. ☐ Đủ mạnh
 2. ☒ Bình thường
 3. ☐ Rất yếu
 4. ☐ Không rõ

DỰ ÁN PHÁT TRIỂN CÁC ĐÔ THỊ LOẠI VỪA TẠI VIỆT NAM – TIỂU DỰ ÁN THÀNH PHỐ PHÚ LÝ

3 ☐ Yếu

IV. HIỆN TRẠNG CẤP NƯỚC HỘ GIA ĐÌNH:

27. Gia đình ông bà thường phải dùng bao nhiêu nguồn nước mới đủ cho sinh hoạt của cả gia đình quanh năm?

1. ☐ Sử dụng 1 nguồn 2. ☒ Sử dụng 2 nguồn 3. ☐ Sử dụng 3 nguồn trở lên

28. Nước ăn, uống/sinh hoạt của gia đình

Nguồn nước Nước ăn, uống Nước tắm, giặt Nước dùng cho mục khác: sản xuất, tưới cây, vệ sinh chuồng trại,...

1. Nước máy qua đồng hồ riêng	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Nước máy dùng nhờ/dầu lại	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Nước giếng khoan	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
4. Nước giếng đào	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Nước mưa	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Nước ao/hồ/sông/rạch	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Nước khác: mua/đóng chai	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

29. Tự đánh giá về chất lượng các nguồn nước đang sử dụng của gia đình:

1. ☐ Nước trong và sạch 3. ☐ Không trong và có mùi/màu
2. ☒ Nước trong nhưng có mùi 4. ☐ Khác:

V. HIỆN TRẠNG THOÁT NƯỚC:

30. Thoát nước thải của hộ gia đình:

- 1 ☐ Thoát ra cống/rãnh chung của khu: 4 ☐ Khác (cụ thể):.....
2 ☒ Nước thải tự thấm vào đất: 5 ☐ Không biết
3 ☐ Thoát trực tiếp ra sông/ao/hồ/kênh/rạch:

31. Ý kiến của ông bà về hệ thống thoát nước của xã/phường/thành phố

- 1 ☐ Thoát tốt trong mọi điều kiện 4 ☐ Thoát kém khi trời không mưa
2 ☒ Thoát kém khi mưa lớn 5 ☐ Không biết
3 ☐ Thoát kém khi mưa nhỏ

32. Hiện gia đình có chi trả phí cho thoát nước không?

1. ☐ Có 2. ☒ Không (chuyển tới câu 31)

33. Nếu có là bao nhiêu:.....nghìn đồng

34. Gia đình có mong muốn được kết nối với hệ thống nước thải của Dự án không?

1. ☒ Có 2. ☐ Không

35. Trong trường hợp phải chi trả phí thoát nước, gia đình có khả năng và sẵn lòng chi trả tiền cho thoát nước không?

- VI. CÔNG TRÌNH VỀ SINH GIA ĐÌNH VÀ CƠ SỞ HẠ TẦNG XÃ HỘI

43. Hiện nay gia đình ông/bà có công trình vệ sinh riêng không?
1 ☒ . Có 2 ☐ . Không
44. Nếu có, gia đình ông/bà dùng loại nào?
1 ☐ . Nhà vệ sinh có bể tự hoại 4 ☐ . Nhà vệ sinh trên kênh/ao/rạch
2 ☐ . Nhà vệ sinh thải trực tiếp ra cống thoát 5 ☐ . Dùng nhờ nhà hàng xóm
3 ☐ . Nhà vệ sinh công cộng 6 ☐ . Khác (cụ thể): Nhà vệ sinh... 15...
45. Tự đánh giá chất lượng nhà vệ sinh mà gia đình ông/bà đang sử dụng:

DỰ ÁN PHÁT TRIỂN CÁC ĐÔ THỊ LOẠI VỪA TẠI VIỆT NAM – TIỂU DỰ ÁN THÀNH PHỐ PHÚ LÝ

1. ☐ Sạch, hợp vệ sinh.
2. ☒ Bẩn, không hợp vệ sinh. (vì sao, ghi rõ) *không có lối đi vệ sinh*
3. ☐ Không biết/ không trả lời

46. Ông bà cho biết thực trạng hệ thống cơ sở hạ tầng sau tại địa phương :

Thực trạng	Phòng học	Trạm y tế	Điểm vui chơi/giải trí	Nhà văn hóa	Chợ
1. Đủ					
2. Thiếu			X		X
3. Rất thiếu					
4. Không rõ					

VII. THU GOM RÁC THẢI:

47. Rác thải hàng ngày của gia đình ông /bà có được thu gom:

- 1 ☒ Có 2 ☐ Không

48. Nếu không, rác thải đổ vào đâu:

- | | |
|---|---|
| 1 <input type="checkbox"/> Sông, ngòi, ao, hồ | 4 <input type="checkbox"/> Đổ tùy tiện |
| 2 <input type="checkbox"/> Đào hồ/ đổ ra vườn | 5 <input type="checkbox"/> Đổ ra ngoài đường |
| 3 <input checked="" type="checkbox"/> Chôn/ đốt | 6 <input type="checkbox"/> Khác (cụ thể)..... |

49. Rác thường được thu gom như thế nào?

- | | |
|--|---|
| 1. <input type="checkbox"/> Hàng ngày | 2. <input type="checkbox"/> Một tuần một lần |
| 3. <input checked="" type="checkbox"/> Hai đến ba lần một tuần | 4. <input type="checkbox"/> Vài tháng một lần |

50. Ông/bà đánh giá về chất lượng dịch vụ thu gom rác thải đang sử dụng ?

- | | |
|--|--|
| 1 <input type="checkbox"/> . Tốt | 3 <input checked="" type="checkbox"/> . Trung bình |
| 2 <input type="checkbox"/> . Tương đối tốt | 4 <input type="checkbox"/> . Kém |

VIII. MÔI TRƯỜNG XUNG QUANH:

51. Theo ông/bà, môi trường xung quanh nhà ta có bị ô nhiễm không:

- 1 ☒. Có 2. ☐ Không

52. Nếu bị ô nhiễm, xin cho biết mức độ?

- 1 ☐. Ô nhiễm nặng; 2 ☒. Ít ô nhiễm

53. Theo ông/bà, những vấn đề môi trường tại địa bàn dân cư (có thể chọn nhiều phương án trả lời)

1. ☐ Ô nhiễm không khí/ khói bụi bản nhiều
2. ☒ Ô nhiễm nước thải sinh hoạt từ giếng ngầm/nước sông rạch
3. ☐ Rác không được thu gom, vứt bừa bãi.
4. ☒ Ngập úng về mùa mưa
5. ☒ Ô nhiễm do nước thải tồn đọng
6. ☐ Ô nhiễm từ nước thải/khí thải từ các cơ sở sản xuất xung quanh
7. ☐ Tiếng ồn quá mức cho phép
8. ☐ Không có vấn đề môi trường nào như trên.
9. ☐ Khác (ghi rõ).....

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54. Xin ông/bà mô tả chi tiết nguyên nhân chính gây ô nhiễm môi trường nêu trên:

Nước thải sinh hoạt đổ nước lại ô nhiễm sông suối
chảy về

55. Theo ông /bà) làm thế nào để khắc phục tình trạng ô nhiễm trên:

Có nên xử lý nước thải đổ nước lại ô nhiễm

IX. GIÁO DỤC VÀ SỨC KHỎE

56. Gia đình ông/bà có bao nhiêu trẻ trong độ tuổi đi học không được đến trường?
trẻ

57. Lý do không được đến trường:

- 1 ☐ Trường quá xa
- 2 ☐ Không đủ khả năng cho con đi học
- 3 ☐ Cần trẻ phụ giúp gia đình
- 4 ☐ Khác (ghi rõ).....

58. Gia đình Ông/bà có tham gia đóng bảo hiểm y tế không ?

- 1 ☒ Có
- 2 ☐ Không

59. Trong 2 tháng vừa qua gia đình có người bị bệnh không?

- 1 ☐ Có
- 2 ☒ Không

60. Nếu có, là bệnh gì:

- 1 ☐ Cảm, sốt
- 2 ☐ Đau đầu
- 3 ☐ Thương hàn
- 4 ☐ Chấn thương
- 5 ☐ Tiêu chảy
- 6 ☐ Sốt xuất huyết

61. Nguyên nhân gây ra bệnh đó:

- 1 ☐ Do ô nhiễm môi trường
- 2 ☐ Do chỗ ở chật chội
- 3 ☐ Ăn, uống thiếu chất dinh dưỡng
- 4 ☐ Ruồi muỗi và côn trùng
- 5 ☐ Tiêu chảy
- 6 ☐ Lý do khác

62. Khi gia đình ông /bà có người ốm, thường khám, chữa bệnh ở đâu?

- 1 ☒ Bệnh viện tỉnh:
- 2 ☐ Bệnh viện khu vực:
- 3 ☐ Trạm xá, phòng khám của phường
- 4 ☐ Phòng khám tư nhân
- 5 ☐ Tự mua thuốc
- 6 ☐ Khác (ghi rõ).....

63. Nếu không đi khám, xin cho biết lý do:

- 1 ☐ Xa cơ sở y tế
- 2 ☐ Không có thời gian
- 3 ☒ Không có tiền
- 4 ☐ Chất lượng khám chữa bệnh
- 5 ☐ Bệnh không nặng
- 6 ☐ Khác (ghi rõ).....

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64. Trong khu vực Ông/bà đang sinh sống, các cơ quan chức năng có tổ chức các chiến dịch tuyên truyền phòng chống bệnh tật cho người dân hay không ? (Nếu có xin Ông/bà trả lời câu 77)

1 ☒ Có

2 ☐ Không

65. Các chiến dịch tuyên truyền phòng chống bệnh tật, chăm sóc sức khỏe nào đã được tổ chức tại địa phương?

1 ☒ Các căn bệnh lây qua đường tình dục

2 ☒ Các căn bệnh liên quan đến đường hô hấp

3 ☒ Căn bệnh HIV/AIDS

4 ☒ Kế hoạch hóa gia đình

5 ☒ Các chiến dịch phòng tránh bệnh tật khác.....

66. Khu vực gia đình ông /bà đang ở có các nơi giải trí sau:

1 ☐ Công viên

5 ☐ Internet

2 ☐ Khu giải trí ngoài trời

6 ☐ Hồ bơi

3 ☐ Rạp chiếu phim

7 ☐ Câu lạc bộ thể dục thể thao

4 ☐ Karaoke

8 ☐ Loại hình khác.....

67. Gia đình có sử dụng các dịch vụ/loại hình giải trí trên không?

1 ☐ Có

2 ☒ Không

Nếu không sử dụng, tại sao?.....*Không có đi điều kiện*

X. VẤN ĐỀ VỀ GIỚI

68. Phân công lao động trong gia đình Ông/bà như thế nào ?

STT	Công việc	Phụ nữ	Nam giới	Cả hai
1.	Nấu ăn	<input checked="" type="checkbox"/>		
2.	Quét dọn	<input checked="" type="checkbox"/>		
3.	Chăm sóc con cái	<input checked="" type="checkbox"/>		
4.	Đi làm thuê		<input checked="" type="checkbox"/>	
5.	Buôn bán nhỏ, dịch vụ			
6.	Làm công ăn lương		<input checked="" type="checkbox"/>	

69. Tham gia các hoạt động cộng đồng

STT	Hoạt động	Nam giới	Nữ giới	Cả hai
1.	Tham gia các cuộc họp cộng đồng			<input checked="" type="checkbox"/>
2.	Tham gia các tổ chức tại địa phương			<input checked="" type="checkbox"/>
3.	Khác (ghi rõ).....			

70. Trong gia đình ai là người quyết định các vấn đề sau

STT	Công việc	Nam giới	Nữ giới	Cả hai
1.	Mua sắm			<input checked="" type="checkbox"/>
2.	Cho con cái đi học			<input checked="" type="checkbox"/>

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STT	Công việc	Nam giới	Nữ giới	Cả hai
3.	Chuyển đổi nghề nghiệp/đi làm	<input checked="" type="checkbox"/>		
4.	Vay vốn ngân hàng			<input checked="" type="checkbox"/>
5.	Đúng tên quyền sở hữu tài sản	<input checked="" type="checkbox"/>		
6.	Khác (ghi rõ).....			

71. Ông/ bà cho biết, theo quan điểm của ông/bà, vấn đề bình đẳng giới có thể được cải thiện nhờ thực hiện Dự án không?

1 ☒ Có

2 ☐ Không

Nếu có, tại sao?.....

XI. NHU CẦU CỦA CỘNG ĐỒNG VÀ GIA ĐÌNH

72. Theo ông /bà, địa phương ta hiện đang gặp khó khăn gì trong các vấn đề sau:

(chọn 5 phương án ưu tiên nhất):

- | | | | |
|--|---------------------------------------|-------------------------------|--|
| - Việc làm | 1 <input checked="" type="checkbox"/> | - Thu gom rác | 8 <input type="checkbox"/> |
| - Nâng cấp cơ sở hạ tầng | 2 <input checked="" type="checkbox"/> | - Nhà vệ sinh cho hộ gia đình | 9 <input type="checkbox"/> |
| - Hạn chế tình trạng ngập úng | 3 <input checked="" type="checkbox"/> | - Phòng khám bệnh | 10 <input type="checkbox"/> |
| - Hệ thống thoát nước | 4 <input checked="" type="checkbox"/> | - Trường học cấp 1,2 | 11 <input type="checkbox"/> |
| - Cung cấp nước sạch | 5 <input type="checkbox"/> | - Nhà trẻ/mẫu giáo | 12 <input type="checkbox"/> |
| - Điểm vui chơi giải trí | 6 <input type="checkbox"/> | - Dịch vụ đô thị, chợ... | 13 <input checked="" type="checkbox"/> |
| - Cải tạo tình trạng sạt lở bờ, kênh mương | 7 <input type="checkbox"/> | - Khác (ghi rõ)..... | |

73. Theo ông/bà địa phương nên làm gì để có thể cải thiện các vấn đề đó:

- 1.....
- 2.....

XII. THU HỒI ĐẤT, BỒI THƯỜNG, HỖ TRỢ VÀ TÁI ĐỊNH CƯ (DÀNH CHO NHỮNG HỘ CÓ ĐẤT/TÀI SẢN BỊ ẢNH HƯỞNG)

A. PHÂN THÔNG KÊ TÀI SẢN (DMS)

Hạng mục dự án: *Lưu Kế Xóm Phú Đông*

74. Đất bị chiếm dụng

Loại đất gì bị ảnh hưởng bởi dự án?

	Tổng DT (m ²)	Bị ảnh hưởng (m ²)		Sử dụng đất lần đầu từ khi nào?	Tính pháp lý của đất	Hiện trạng SD đất
		Vĩnh viễn	Tạm thời			
	1	2	3	4	5	6
1.1 Đất thổ cư/Đất ở						
1.2 Đất lúa						
1.3 Đất vườn	400	<input checked="" type="checkbox"/>		<i>lưu kế xóm</i>	<i>phù đông</i>	
1.4 Đất rừng/trồng cây						
1.5 Ao nuôi tôm/Cá						

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1.6	Đất NN khác						
1.7	Đất phi NN						

Sử dụng đất lần đầu:	1- Trước tháng 12/1980 2- Từ tháng 01/1981 đến 15/12/1993 3- Sau 15/12/1993	Tính pháp lý:	1- CNSD đất hoặc có thể lấy CNSD đất 2- Thuê, mượn hoặc sử dụng tạm thời. 3- Không có quyền hợp pháp
Hiện trạng sử dụng:	1- Chỉ để ở 2- Kết hợp ở / cửa hàng 3- Chỉ làm cửa hàng KD 4- Nơi SX / garage 5- SD cộng đồng	6- Lúa 3 vụ 7- Lúa 2 vụ 8- Lúa 1 vụ 9- Hoa màu 10- Rau	11- Trồng cây lâu năm ✗ 12- Nuôi tôm, cá 13- Nuôi tôm thâm canh 14- Kết hợp lúa/tôm 15- Khác (ghi cụ thể).....

75. Vật kiến trúc bị ảnh hưởng

Cấu trúc **CHÍNH** bị ảnh hưởng bởi dự án?

	Loại cấu trúc	Tổng DT (m ²)	DT BAH (m ²)	Cấp nhà	Hiện trạng sử dụng	Người BAH có thuê nhà		BAH như thế nào ?
						Có	Tiền thuê 1 tháng (VND)	
	1	2	3	4	5	6	7	8
2.1								
2.2								
2.3								
2.4								

Loại cấu trúc: 1- Chỉ để ở 3- Cửa hàng 5- Cộng đồng
2- Ở/cửa hàng 4- Công nghiệp / nhà kho 6- Khác

Cấp nhà: 1- Cấp 1 4- Cấp 4
2- Cấp 2 5- Nhà tạm
3- Cấp 3

Hiện trạng sử dụng: 1- Chỉ làm nhà ở 5- Công nghiệp/buôn bán, nhà kho
2- Kết hợp ở/buôn bán 6- Cấu trúc cho thuê
3- Chỉ để buôn bán 7- Khác: (Ghi cụ thể):
4- Cộng đồng (trường học, v.v.)

Loại **CÔNG TRÌNH PHỤ** nào bị ảnh hưởng bởi dự án?

Loại cấu trúc	Phần bị ảnh hưởng:	Loại	Cộng trình
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		M ²	M	Số lượng	VLXD ban đầu	BAH như thế nào?
	1	2	3	4	5	6
2.5						
2.6						
2.7						
2.8						
2.9	Kang Rao				Đá gabb,	Hết,
2.10	Công				B.T cát sắt	Hết

Vật kiến trúc

1- Mái hiên	6- Hàng rào ✕	11- Đồng hồ điện ✕
2- Hiên/hệ bờ tường sân gạch	7- Cổng ✕	12- Đồng hồ nước
3- Kiosk buôn bán	8- Cổng thoát nước	13- Đường điện thoại, ADSL
4- Bếp /toilet/ nhà tắm riêng biệt	9- Giếng nước	14- Đường ống nước
5- Chuồng nuôi gia súc	10- Mỏ mả	15- Khác:

VLXD ban đầu:

1- Tre nứa	4- Bê tông ✕
2- Gỗ	5- Tôn/sắt thép
3- Gạch ✕	6- Khác..... Sắt... thép.....

76. Cây trồng bị ảnh hưởng

	Nhóm cây trồng	Số lượng BAH		Kích cỡ/tuổi	
		Số lượng	m ²	Năm	Đường kính (cm)
	1	2	3	4	5
3.1	Nhóm 1	15		20	40 cm
3.2	Nhóm 2				
3.3	Nhóm 3				
3.4	Nhóm 4	20 Bụi		9	20 cm
3.5	Nhóm 5				
3.6	Nhóm 6	5 cây		15	40 cm
3.7	Nhóm 7	200 cây		15	15 cm

Nhóm 1 – Nhãn, Dừa, Xoài, Vú sữa
 Nhóm 2 – Cam, quýt, bưởi, na, seri
 Nhóm 3 – Ôi, Điều, Tiêu, thanh long
 Nhóm 4 – Đu đủ, Chuối, Loại khác

Nhóm 5 – Dứa, Mía
 Nhóm 6 – Bạch đàn, Xà cừ, Keo, Xc
 Nhóm 7 Tràm, Tre, Loại khác

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B. PHƯƠNG ÁN BỒI THƯỜNG, HỖ TRỢ VÀ TÁI ĐỊNH CƯ

77. Nếu đất đai của Ông/bà bị ảnh hưởng, Ông/bà mong muốn được đền bù theo phương án nào ?
1. Bồi thường bằng đất đổi đất
 2. Bồi thường bằng tiền mặt
 3. Bồi thường bằng tiền và đất ☒
 4. Hình thức khác (xin ghi cụ thể).....
78. Nếu diện tích đất thổ cư còn lại không đủ để xây dựng công trình phụ trợ, Ông/bà mong muốn được tái định cư theo phương án nào dưới đây ?
1. Tự di chuyển đến mảnh đất khác mà gia đình đang sở hữu
 2. Tự chuyển đến mảnh đất mới mà gia đình tự lựa chọn/tự mua
 3. Chuyển đến khu tái định cư do dự án xây dựng nếu được đề nghị ☒
 4. Vẫn chưa quyết định
79. Để đảm bảo cuộc sống như trước khi bị ảnh hưởng thì Ông/bà mong muốn được hỗ trợ gì ?
1. Hỗ trợ đào tạo khuyến nông
 2. Hỗ trợ phát triển chăn nuôi
 3. Hỗ trợ đào tạo nghề ngoài nghề nông nghiệp ☒
 4. Hỗ trợ giới thiệu việc làm
 5. Hỗ trợ trong việc tiếp cận các nguồn vay tín dụng
 6. Không biết
 7. Khác, (vui lòng ghi rõ).....
80. Ông/bà có ủng hộ việc triển khai thực hiện Tiểu dự án trên địa bàn thôn/xóm của Ông/bà hay không ?
1. Có ☒
 2. Không

Xin cảm ơn sự hợp tác của Ông /bà!

Điều tra viên
(Ký và ghi rõ họ tên)

Lo Ngan Lam

Người trả lời
(Ký và ghi rõ họ tên)

Phan Văn Cường
Phan Văn Cường

Appendix 4: Some site pictures



Picture 1: Public consultation in Lam Ha ward



Picture 2: Public consultation in Quang Trung ward



Picture 3: Public consultation in Liem Tuyen ward



Picture 4: Public consultation in Phu Van commune