

**MINISTRY OF AGRICULTURE AND RURAL DEVELOPMENT  
MANAGEMENT BOARD FOR FORESTRY PROJECTS**



**Vietnam Forest Sector Modernization and Coastal  
Resilience Enhancement Project**

**SOCIAL ASSESSMENT REPORT**

*Final*

**Hanoi, March 2017**

This is Social Assessment (SA) for the Forest Sector Modernization and Coastal Resilience Enhancement Project is a standard document in line with requirements and procedures of the World Bank (WB). The report provides the information and analysis for the preparation of safeguard instruments namely, the Environmental and Social Management Framework (ESMF), Resettlement Policy Framework (RPF), Resettlement Action Plan (RAP), Ethnic Minority Planning Framework (EMPF), Ethnic Minority Development Plan (EMDP), and Process Framework (PF).

The SA was conducted to identify key stakeholders and establish a suitable framework for their participation in the selection, design, implementation, monitoring and evaluation of the project. The SA also aims to identify project's benefits and possible risks with the participation of people in the project area with people.

The SA uses methods and techniques to obtain and analyze information about residents in the project area, included: available secondary information; and primary information such as quantitative survey questionnaires by random sampling; qualitative survey with in-depth interview techniques; results of focus group discussions and formal public consultations.

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## Abbreviation and Acronyms

AP/AH	Affected persons/households
CEM	Committee for Ethnic Minority Affairs
CPC	Commune People's Committee
CWU	Commune Women's Union
DARD	Department of Agriculture and Rural Development
DMS	Depth Measuring System
DPC	District People's Committee
DRC	District Compensation Resettlement Committee
EM	Ethnic minorities
EMDP	Ethnic minorities development plans
GOV	Government of Vietnam
HH	Households
IOL	Investigation asset inventory losses
IRP	Income recovery program
LAR	Land acquisition and resettlement
LURC	Land use rights certificates
MARD	Ministry of Agriculture and Rural Development
MONRE	Ministry of Resource and Environment
PMU	Project Management Unit
PPC	Provincial People's Committee
PPMU	Provincial Project Management Unit
PRA	Participatory rural appraisal
RP	The compensation and resettlement plan
RPF	Resettlement policy framework
PFES	Payments for Ecosystem Services
SAH	Seriously Affected Households
TOR	Terms of Reference



USD	U.S. Dollar
VND	Vietnam Dong
WB	World Bank

## EXECUTIVE SUMMARY

1. The project development objective (PDO) is to improve coastal forest management in selected provinces (Hai Phong City, Quang Ninh, Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri, Thua Thien Hue provinces). The project is expected to enhance coastal resilience to climate change, such as (especially storms and flooding. Coastal forests in Vietnam, include those in coastal areas and islands as per the definition in Decree No.119/2016/ND-CP are classified as special forests, protection forests.

### Project Beneficiaries

2. The project's beneficiaries involve the following the coastal communities, small-holder forestry households involved in forest management (SFM); the Protection Forest Management Boards (PFMBs) at provincial, district and commune governments, within the Ministry of Agriculture and Rural Development. Targeted coastal communities, Government agencies at the district, provincial and central level will benefit from activities focused on improving the locals' wellbeing and capacity building respectively.

### Project Areas

3. The project will work in communes of 8 selected provinces - Quang Ninh, Hai Phong, Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri and Thuan Thien Hue. The first two provinces are in the Red River Delta (RRD); the last six provinces are coastal provinces in the north central region. These provinces have approximately 400km of coastline (12 percent of Vietnam's total coastline).

### Project Components

4. The project consists of 4 components, which are:

#### ***Component 1: Enabling Effective Coastal Forest Management***

5. This component will support the development and implementation of scalable procedures and tools to improve coastal forest management. The activities associated with this component will build the technical knowhow and make investments needed to modernize the approaches used to address the three key constraints – overlapping spatial plans, lack of adequate supply of quality seedlings and long-term financing for managing coastal protection forests.

6. This component has the following three subcomponents:

- (1) Subcomponent 1.1 on modernizing coastal forest planning. This subcomponent will complement the activities financed by the Climate Change and Green Growth Development Policy Finance, and support consultancies to deliver key inputs for improving planning.
- (2) Subcomponent 1.2 on expanding quality seedling production. This subcomponent will finance physical works, goods and equipment and technical consultancies for expanding production of quality seedlings.
- (3) Subcomponent 1.3 on broadening payments for forest ecosystem services to coastal forests.

#### ***Component 2: Coastal Forest Development and Rehabilitation***

7. The objective of this component is to improve management of existing coastal protection forests and expand the area of coastal protection forests in participating provinces. In each province, sites for planting, protecting and enriching coastal forests were identified based on criteria that reflect local government commitment, ecological feasibility, land ownership and potential to contribute to resilience. Using the criteria, the investments are spread across 257 communes in 47 districts. In some target areas, this includes planting and managing mangrove forests along estuaries. In other areas, there will be planting and management of sandy soil forests on bluffs, terraces, dunes, and hills near the coast where the coastal communities are exposed to wind. The MARD targets for this component are:

- (a) 50,000 ha of coastal forests protected
- (b) 10,000 ha of coastal forests rehabilitated
- (c) 5,000 ha of mangroves planted
- (d) 4,000 ha of sandy soil forest planted

8. This component has two subcomponents. The first is on planting and protection target coastal forests. This subcomponent will finance works, goods and equipment, labor and consultancies needed to protect existing stands of coastal forests, and plant and tend new and degraded stands of coastal forests. It also finances the activities associated with community based forest management. The second subcomponent is on augmenting the survival and effectiveness of coastal protection forests. This subcomponent invests in physical works and supporting structures, equipment and tools, that can augment the survival and effectiveness of coastal protection forests. This subcomponent will also finance investments that assist with strengthening the monitoring and management of planting and protection activities. It will also support minor improvements of existing physical structures that complement coastal forests in protecting coastal communities.

### ***Component 3: Generating Sustainable Benefits from Coastal Forests***

9. Motivating local support for the protection of coastal forests beyond the lifetime of the project will require interventions that boost the economic benefits from coastal forests to a range of stakeholders - communities, local households, small enterprises, the communes and districts. In the Mekong Delta region, households and small enterprises have generated revenue from coastal forests through integrated aquaculture practices. Efforts to restore coastal forests in the Mekong Delta have also generated jobs and boosted sources of revenue for local government helping justify the investments to the Provincial People's Committee. There also have been projects piloting payments for forest ecosystem services (PFES) from the aquaculture and tourism sector (two sectors that can contribute to PFES funds).

10. This component makes investments that augment the potential for generating private income, employment and public revenue from coastal protection forests. Adapting models that have worked in the Mekong Delta region and in the agriculture sector, this component supports: (i) partnerships for generating revenue from coastal protection forests (e.g., through extensive and certified aquaculture, and nature-based tourism) and (ii) upgrading of productive infrastructure (minor infrastructure) that would enable the local areas (communes) to support revenue generation from the investments. The support will be provided through investment packages that are grants. The grants will be provided following a competitive selection process which applies a transparent selection process that is specifically designed and established to result in the selection of commercially viable productive partnerships and

business plans (in subcomponent 3.1) and of the most useful productive infrastructure (in subcomponent 3.2).

#### ***Component 4: Project Management and Monitoring and Evaluation***

11. This component will include the establishment of the organizational structure for project implementation; preparation of equipment, means and technical assistance. Activities would include refurbishing accommodations for the decentralized offices, vehicles, and a fully funded monitoring and evaluation system to track project progress and impacts, and provide feedback for project improvement throughout its tenure. The component would finance specialized training for MARD, provincial, district, and commune actors on themes such as co-management, integrated spatial planning, monitoring and evaluation and safeguards. This component will also finance recurrent costs such as the government staff and operating costs.

#### **Project Cost and Financing**

12. The financing for this project will largely be a US\$150 million IDA loan and US\$30 million of Government of Vietnam counterpart financing. The latter will largely cover project management costs and will be available for providing technical assistance. The counterpart funds will include contributions from the provinces.

#### **Project Potential Positive and Negative Impacts and Mitigation Measures**

13. The SA results indicate that, the project will generate positive environmental, social and economic impacts during its operational phase including : (i) planting and protecting coastal forests thereby contributing to the restructuring of forestry production in the region; (ii) integrating of agro-forestry models to ensure food security that responds to population growth, and to unpredictable weather as a result of climate change iii) improving the ecological as well as coastal fishing resources.

14. Potential negative social impacts besides the loss of land due to land acquisition, include: (i) loss of livelihoods (e.g. reduced sources of income due to loss of agricultural land and temporary loss of income from aquaculture activities and restriction to access forest resources); (ii) impacts on vulnerable groups (i.e. women, Ethnic Minorities (EMs) that may be disproportionally impacted by loss of livelihood and land acquisition); (iii) impacts on safety and health (e.g. potential social impacts on local communities include road and public safety during construction, spreading of HIV/AIDS and other to local livelihoods during the construction period.

15. These impacts will be mitigated through a number of instruments that are prepared as follows:

- (1) Resettlement Policy Framework
- (2) Ethnic Minority Planning Framework
- (3) Resettlement Action Plan
- (4) Ethnic Minority Development Plan
- (5) Gender Action Plan
- (6) Public Health Action Plan
- (7) Public consultation and participation Plan
- (8) Communication Plan

## **Institutional and Implementation Arrangements**

16. The institutional focal point for this project are Management Board for Forest Projects (MBFP) within the Ministry of Agriculture and Rural Development (MARD). MBFP will be responsible for overseeing and managing the overall project implementation. In addition to MBFP, the VIETNAM Forests (VNForests) from MARD and relevant departments from within the provincial Departments of Agriculture and Rural Development (DARD) will provide institutional support for the project implementation.

17. The bulk of project implementation is at subnational level and activities related to component 2 and 3 will be primarily implemented at a district commune level. Accordingly, the project implementation structure will involve a modest size central level project management unit (PMU), and provincial level project management units (PPMUs). The PPMUs will oversee project activities implementation in their respective provinces.

## PART I: INTRODUCTION

### 1.1. Project Objectives

18. The PDO of the Forest Sector Modernization and Coastal Resilience Enhancement Project (FMCR) is to improve coastal forest management in the selected provinces. The PDO presents the expected contribution during the project lifetime towards the Government of Vietnam's higher objective to enhance coastal resilience to climate change (especially storms and flooding). Coastal forests in Vietnam, as per the definition in the Decree No.119/2016/ND-CP are special use forests (SUFs), protection forests, land planned for planting protection forests and special-use forests in the coastal areas and islands. Coastal forests include both areas those already planned and the special-use forests and coastal protection forests to be defined and planned.

19. In the PDO, improved management of coastal forests entails more than simply managing existing stands of coastal forests. It entails the need of necessary policy measures to support effective spatial planning arrangements for effectively managing the resource base, protection, planting and enrichment planting of coastal forests. It will also considers incentives for local households, communities, enterprises, and government to maintain and protect the resource base. Providing these incentives will require unlocking opportunities for linking protection of coastal forests with livelihood benefits and economic development.

### 1.2. Project Location

20. The project will work in communes in eight provinces - Quang Tri, Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Thua Thien Hue, Quang Ninh and Hai Phong. The last two provinces are in the Red River Delta (RRD); the first six provinces are coastal provinces in the north central region. These provinces have approximately 400km of coastline (12 percent of Vietnam's total coastline).

### 1.3. Detailed Areas of Project Interventions

21. The project will be implemented in 258 communes in 47 districts of 8 provinces belonging the two ecoregions of Red River Delta and North Central Region. The

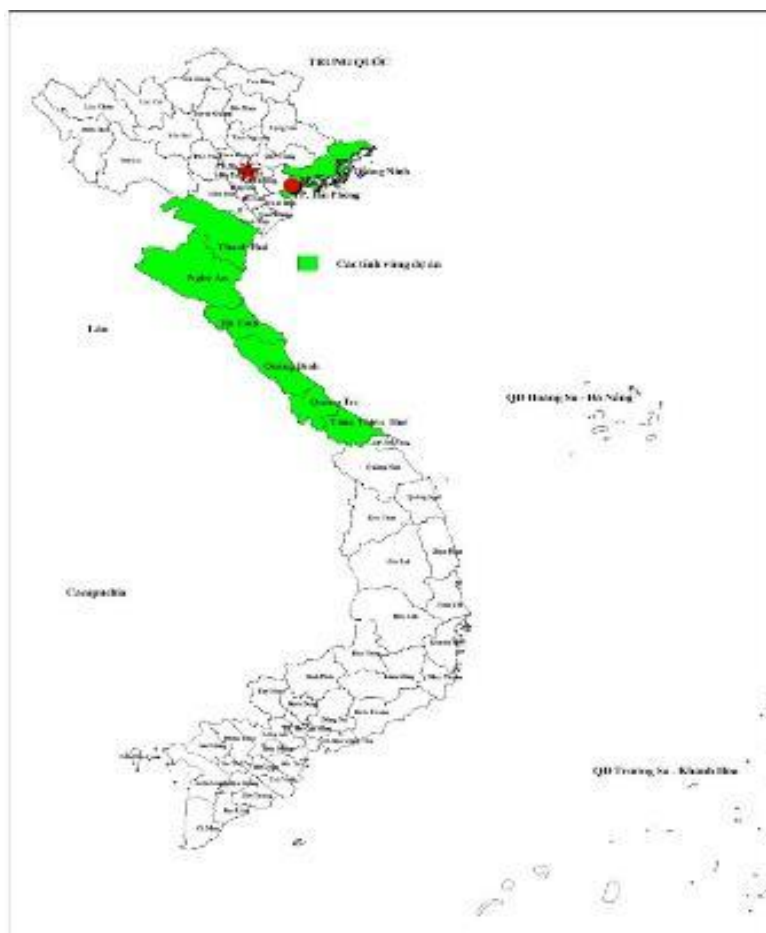


Figure 1. Project location

communes/districts with coastal forests to be participating in the project are as follows:

Province/City	Results of evaluation
1. Quang Ninh	<b>45 project communes with an area of 24,434 ha, of which:</b> <ul style="list-style-type: none"> <li>• 51.1% is managed by CPCs</li> <li>• 38.0% is managed by PFMBs</li> <li>• 10.9% is managed by households and other organisations</li> </ul>
2. Hai Phong	<b>12 project communes with an area of 4,993 ha, of which:</b> <ul style="list-style-type: none"> <li>• 99.0% is managed by CPCs</li> <li>• 1.0% is managed by households</li> </ul>
3. Thanh Hoa	<b>27 project communes with an area of 3,272 ha, of which:</b> <ul style="list-style-type: none"> <li>• 45.7% is managed by CPCs</li> <li>• 36.5% is managed by PFMBs</li> <li>• 17.8% is managed by households, communities and other organisations.</li> </ul>
4. Nghe An	<b>38 project communes with an area of 6,991 ha, of which:</b> <ul style="list-style-type: none"> <li>• 17.4% is managed by CPCs</li> <li>• 69.7% is managed by PFMBs</li> <li>• 12.8% is managed by households, communities and other organisations.</li> </ul>
5. Ha Tinh	<b>46 project communes with an area of 8,861 ha, of which:</b> <ul style="list-style-type: none"> <li>• 16.3% is managed by CPCs</li> <li>• 68.9% is managed by PFMBs</li> <li>• 14.8% is managed by households and communities</li> </ul>
6. Quang Binh	32 project communes with area of 4,236 ha totally managed by CPCs (100%)
7. Quang Tri	<b>25 project communes with an area of 7,917 ha, of which:</b> <ul style="list-style-type: none"> <li>• 97.9% is managed by CPCs</li> <li>• 2.1% is managed by households, communities and other organisations</li> </ul>
8. TT Hue	<b>32 project communes with an area of 11,376 ha, of which:</b> <ul style="list-style-type: none"> <li>• 23.0% is managed by CPCs</li> <li>• 64.4% is managed by PFMB</li> <li>• 12.6% is managed by communities, households and other organisations.</li> </ul>

*Sources: Management Board for Forestry Projects and DARDs, 2016*

#### **1.4. Beneficiaries of the Project**

22. Project beneficiaries include both direct and indirect beneficiaries.

(1) *Direct beneficiaries* include: local people, households and communities living in the

targetted coastal forest area estimated as follows:

- Number of villages, communes and households benefiting from the project: about 400 communities belonging to 257 communes (approximately 300,000 households);
- Number of households benefiting from livelihood development activities 31,000 households;
- Number of participants in training courses 39,514 people, out of which 20,380 households.

Estimated number of workers required for forests planting, rehabilitation, and protection as follows:

- Number of man-days for new plantings: 2,876,720 (equivalent to 8,173 employees);
- Number of man-days for forest rehabilitation: 1,652,758 (equivalent to 4,696 employees);
- Number of man-days for forest protection: 506,220 (or 1687 employees)

Protection forest management boards (PFMBs), forestry companies, enterprises related to forestry supplyservices; authorities at provincial, district and commune levels; and departments related to forest resource management.

Participants in training courses out of which 19,134 managers.

- (2) *Indirect beneficiaries* are the Ministry of Agriculture and Rural Development (MARD) and the Vietnamese Government through stronger forest policies promoting forest sector reform particularly focus on : sustainable forest management and the issuance of forest certificates; coastal area planning; forest productivity and forest quality through improved forestry seed stock; establishment of regional association centres; forest sector monitoring.

**Table 1: Number of the projects potential beneficiaries involved in the project**

Provinces	Potential beneficiaries (people)						
	Total	2017	2018	2019	2020	2021	2022
<b>Total</b>	<b>12,974</b>		<b>1,782</b>	<b>4,865</b>	<b>3,950</b>	<b>1,393</b>	<b>984</b>
Ha Tinh	1,739		244	662	533	186	114
Nghệ An	463		66	180	145	47	25
Quảng Bình	1,922		270	729	586	208	129
Quảng Ninh	2,794		366	1,010	835	312	271
Quảng Trị	2,157		297	801	648	245	166
Thanh Hóa	731		98	274	230	78	51
Thừa Thiên Huế	815		112	304	247	91	61
Hải Phòng City	2,371		332	909	730	230	170

*Sources: Management Board for Forestry Projects and DARD, 2016*

23. Diversifyingbenefits from coastal forest component will provide investment packages



for long-term benefits from coastal forests. Beneficial groups of households with long-term contract for coastal forest protection will be eligible for these packages.

**Table 2: Number of investment package for province project (package)**

Provinces	Total investment package	Potential beneficiaries households		Extensive aquaculture	Intensive aquaculture	Nursery enterprises	Ecotourism
		Max	Min				
<b>Total</b>	<b>226</b>	<b>4,520</b>	<b>3,390</b>	<b>66</b>	<b>30</b>	<b>117</b>	<b>13</b>
Quảng Ninh	66	1,320	990	40	12	10	4
Hải Phòng	8	160	120	5	1	1	1
Thanh Hóa	24	480	360	4	3	17	
Nghệ An	28	560	420	4	4	18	2
Hà Tĩnh	35	700	525	6	3	24	2
Quảng Bình	19	380	285	2	2	14	1
Quảng Trị	16	320	240	2	1	12	1
TT Huế	30	600	450	3	4	21	2

*Sources: Management Board for Forestry Projects and DARD, 2016*

## 1.5. Project Components

24. The project consists of 4 components, which are Component 1: Enabling Effective Coastal Forest Management; Component 2: Coastal Forest Development and Rehabilitation; Component 3: Generating Sustainable Benefits from Coastal Forests; and Component 4: Project Management and M&E.

### Component 1: Enabling Effective Coastal Forest Management

25. This component will support the development and implementation of scalable procedures and tools to improve coastal forest management. The activities associated with this component will build the technical knowhow and make investments needed to modernize the approaches used to address the three key constraints – overlapping spatial plans, lack of adequate supply of quality seedlings and long-term financing for managing coastal protection forests.

26. This component has the following three subcomponents:

- Subcomponent 1.1 on modernizing coastal forest planning. This subcomponent will complement the activities financed by the Climate Change and Green Growth Development Policy Finance, and support consultancies to deliver key inputs for improving planning.
- Subcomponent 1.2 on expanding quality seedling production. This subcomponent will finance physical works, goods and equipment and technical consultancies for expanding production of quality seedlings.

- Subcomponent 1.3 on broadening payments for forest ecosystem services to coastal forests.

## **Component 2: Coastal Forest Development and Rehabilitation**

27. The objective of this component is to improve management of existing coastal protection forests and expand the area of coastal protection forests in participating provinces. In each province, sites for planting, protecting and enriching coastal forests were identified based criteria that reflect local government commitment, ecological feasibility, land ownership and potential to contribute to resilience. Using the criteria, the investments are spread across 257 communes in 47 districts. In some target areas, this includes planting and managing mangroves forests along estuaries. In other areas, there will be planting and management of sandy soil forests on bluffs, terraces, dunes, and hills near the coast where the coastal communities are exposed to wind. The MARD targets for this component are:

- 50,000 ha of coastal forests protected
- 10,000 ha of coastal forests rehabilitated
- 5,000 ha of mangroves planted
- 4,000 ha of sandy soil forest planted

28. This component has two subcomponents. The first is on planting and protection target coastal forests. This subcomponent will finance works, goods and equipment, labor and consultancies needed to protect existing stands of coastal forests, and plant and tend new and degraded stands of coastal forests. It also finances the activities associated with community based forest management. The second subcomponent is on augmenting the survival and effectiveness of coastal protection forests. This subcomponent invests in physical works and supporting structures, equipment and tools, that can augment the survival and effectiveness of coastal protection forests. This subcomponent will also finance investments that assist with strengthening the monitoring and management of planting and protection activities. It will also support minor improvements of existing physical structures that complement coastal forests in protecting coastal communities.

## **Component 3: Generating Sustainable Benefits from Coastal Forests**

29. Motivating local support for the protection of coastal forests beyond the lifetime of the project will require interventions that boost the economic benefits from coastal forests to a range of stakeholders - communities, local households, small enterprises, the communes and districts. In the Mekong Delta region, households and small enterprises have generated revenue from coastal forests through integrated aquaculture practices. Efforts to restore coastal forests in the Mekong Delta have also generated jobs and boosted sources of revenue local government helping justify the investments to the Provincial People's Committee. There also have been projects piloting payments for forest ecosystem services (PFES) from the aquaculture and tourism sector (two sectors that can contribute to PFES funds).

30. This component makes investments that augment the potential for generating private income, employment and public revenue from coastal protection forests. Adapting models that have worked in the Mekong Delta region and in the agriculture sector, this component supports: (i) partnerships for generating revenue from coastal protection forests (e.g., through extensive and certified aquaculture, and nature-based tourism) and (ii) upgrading of productive infrastructure (minor infrastructure) that would enable the local areas (communes)

to support revenue generation from the investments. The support will be provided through investment packages that are grants. The grants will be provided following a competitive selection process which applies a transparent selection process that is specifically designed and established to result in the selection of commercially viable productive partnerships and business plans (in subcomponent 3.1) and of the most useful productive infrastructure (in subcomponent 3.2).

#### **Component 4: Project Management and Monitoring and Evaluation**

31. This component will include the establishment of the organizational structure for project implementation; preparation of equipment, means and technical assistance. Activities would include refurbishing accommodations for the decentralized offices, vehicles, and a fully funded monitoring and evaluation system to track project progress and impacts, and provide feedback for project improvement throughout its tenure. The component would finance specialized training for MARD, provincial, district, and commune actors on themes such as co-management, integrated spatial planning, monitoring and evaluation and safeguards. This component will also finance recurrent costs such as the government staff and operating costs.

#### **1.6. Objectives and Methods of the Social Assessment**

##### ***1.6.1. Objectives and scope of the assessment***

32. The Social Assessment (SA) aimed at provide an analysis of the strategies, measures to be put in place, in order to ensure the objectives of the project are in line with its social context. The SA provide with information necessary to design the social strategy for the project. The SA's preparation entailed mobilization of stakeholders, and potential beneficiaries to reflect upon their project's views and perceptions.

33. The main objectives of the SA were to: i) examine the potential impacts (positive and negative) of the proposed project activities, and ii) identify mitigation measures to address potential adverse impacts and define the mitigations actions in consultation with the project affected people (PAPs).

34. EM screening was conducted as per Bank's OP 4.10, during SA preparation vis-à-vis the environmental assessment (OP 4.01). Once confirming the presence of EMs in the project area, consultations were carried out in a free, prior, and informed manner, to confirm the project's broad community support. A gender analysis as part of the SA was focused on underlying gender dimensions to promote project's gender inclusion (please see Annex 1).

##### ***1.6.2. Screening of Ethnic Minorities***

35. The purpose of screening for EM peoples was to determine the presence of EMs in the project area. The confirmation subsequently triggered the OP 4.10 and defined the need for preparation of an EMPF that will guide the elaboration of EMDPs, once the final designs of the subprojects will be available.

##### ***1.6.3. Methodology***

###### ***a. Principles***

36. The following principles guided the preparation of the SA:

- (i) Conduct a bottom-up approach to address local communities aimed at ensuring a wide participation of its members, including vulnerable households. Therefore, provide the

locals with the opportunity to express, desires and recommendations.

- (ii) Gather and analyze qualitative and quantitative data.
- (iii) Cross-check the collected information/ data in order to ensure a rigorous base line for the analysis.
- (iv) Carry out field surveys to ensure accuracy and relevance of up-dated information.

*b. Desk study*

37. The baseline information with different sources of information that will help further assessments. Information and data included: the legal framework and policies of the GoV and the World Bank on involuntary resettlement and ethnic minorities (EMs), information collected from the project management unit (CPMU) and other sources such as Statistical Yearbooks (2015) of the 8 provinces (Quang Ninh, Hai Phong, Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri, and Thua Thien Hue), annual socio-economic reports of town/city/wards, communes and socio-economic studies of other relevant projects.

*c. Quantitative method*

38. A socio-economic survey (SES) was conducted during August to September, 2016 to understand the profile of the people in the project area - both affected and benefited households. Sampling was randomly selected for 321 households covering the poor, fair and better-off households as well as single women, and EMs who were interviewed by in 16 communes of 10 districts across the 8 project's targeted provinces. The interviews included:

- *Local authorities*: Representatives of departments and sectors in the project area in the districts, wards/communes.
- *Households*: Beneficiaries, vulnerable households, EM households, households at risk of being affected by the project, sampling households with different living standards...

**Table 3: Number of households interviewed in the project area**

Province	Total HHs interviewed	By gender		By economic levels			By household head			By ethnic groups	
		Male	Female	Rich and upper-average HH	Average HH	Near-poor HH	Poor HH	Female	Male	Kinh	EM
Quảng Ninh	32	17	15	3	24	1	4	5	32	26	6
Hải Phòng	34	18	16	4	19	5	6	6	28	34	0
Thanh Hóa	29	11	18	3	11	11	4	3	26	25	4
Nghe An	44	11	34	2	16	5	21	12	32	40	4
Hà Tĩnh	37	21	15	0	17	3	17	10	27	37	0
Quảng Bình	47	34	13	1	42	4	0	9	38	44	3
Quảng Trị	50	21	29	10	25	6	9	15	35	48	2
TT Huế	48	32	16	10	15	7	16	12	36	48	0

<b>Total</b>	<b>321</b>	<b>165</b>	<b>156</b>	<b>33</b>	<b>169</b>	<b>42</b>	<b>77</b>	<b>72</b>	<b>242</b>	<b>302</b>	<b>19</b>
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*Source: Field survey results in August and September, 2016*

*d. Qualitative method*

39. Qualitative research was conducted through in-depth interviews. The sample size was 340 key informants that included:

- 42 provincial leaders and forest protection management officials (including representatives of PPCs, the departments/divisions/sectors, Forest Management Boards);
- 45 district officials;
- 81 commune officers; and
- 172 in-depth interviews. For each commune, one focus group was carried out (about 8-10 people/group) in the discussion. In-depth interviews were conducted with household representatives and officials at the provincial, district and commune levels.

*e. Public consultation*

40. To complement the quantitative data, two round public consultations (in-depth interviews and group discussions) were conducted with participants from various levels. Community engagement conducted gathered information about the community's feedback on the project portfolio proposed and monitoring. During the preparation stage, at the first round public consultations were 16 public consultation meetings in 16 communes were carried out in August and September 2016 and the second round in December 2016 with participation of the following stakeholders (More information of the date and round public consultation in the table 4).

- (i) Local authorities, representatives from 16 communes: 81 commune officers. Including:
  - Representatives of the commune authorities, and stakeholders affected by the project activities;
  - Officials in charge of ethnic minority affairs, labor, social affairs, and agricultural extension services;
  - Representatives of social organizations at commune level (Farmer's Association, Women's Union, Fatherland Front...) and representatives of vulnerable people;
- (ii) Subjects addressed in public consultation and discussions included:
  - Introduction of the components and items of the project;
  - Overview of local socio-economic situation of project communes;
  - The status of coastal forest, including: forest owners, management of coastal forests
  - The status of rural infrastructure to protect coastal forest
  - Screening/Assessment of potential impacts that may occur including on socio-economic, cultural impacts in the project area.

**Table 4: Summary of the public consultation during preparation stage**

No	Provinces, districts	Date
<b>I</b>	<b>Quang Ninh province</b>	
1	Consultation with Department of Agriculture and Rural Development, People's Committee of Tien Yen district and Mong Cai City.	17 and 18/8/2016
2	Protection Forest Management Board of Mong Cai City, Quang Ninh province	18/8/2016
3	Van Ninh and Dong Rui commune, Quang Ninh province	19/8/2016 and 14/12/2016
4	Consultations with households in Van Ninh and Dong Rui commune	19 and 20/8/2016 and 14/12/2016
<b>II</b>	<b>Nghe An province</b>	
1	Consultations with Department of Agriculture and Rural Development, Dien Chau district People's Committee	5 - 6/9/2016
2	Dien Ngoc and Dien Thanh commune, Nghe An province	7/9/2016 and 16/12/2016
3	Consultation with households in Dien Ngoc and Dien Thanh commune, Nghe An province	8/9/2016 and 16/12/2016
<b>III</b>	<b>Thanh Hoa province</b>	
1	Consultations with Department of Agriculture and Rural Development; Department of Forestry, Tinh Gia district People's Committee	9/9/2016
2	Hai Ninh and Xuan Lam commune, Thanh Hoa province.	10/9/2016 and 15/12/2016
<b>IV</b>	<b>Ha Tinh province</b>	
1	Consultations with Department of Agriculture and Rural Development, Forest Protection Management Boards, Thanh Ha district People's Committee	12/9/2016
2	Ho Do and Cam Linh commune, Ha Tinh province	13/9/2016 and 17/12/2016
3	Consultation with households in Ho Do and Cam Linh commune, Ha Tinh province	14/9/2016 and 17/12/2016
<b>V</b>	<b>Thua Thien Hue province</b>	
1	Consultations with Department of Agriculture and Rural Development, Forest Protection Department, Forest Protection	6/9/2016

No	Provinces, districts	Date
	Funding Association, Quang Dien district People's Committee	
2	Phu Loc town, Thua Thien Hue province	7/9/2016 and 15/12/2016
3	Quang Cong and Lang Co commune, Thua Thien Hue province	8/9/2016 and 15/12/2016
<b>VI</b>	<b>Quang Tri province</b>	
1	Consultations with Department of Agriculture and Rural Development, Forest Protection Department, Forest Protection Management Boards of Thach Han river and Ben Hai river, Gio Linh district People's Committee.	9/9/2016
2	Consultations with Trung Giang and Gio My commune, Quang Tri province	9/9/2016 and 16/12/2016
3	Consultations with Trung Giang and Gio My commune households, Quang Tri province	10/9/2016 and 16/12/2016
<b>VII</b>	<b>Quang Binh province</b>	
1	Consultations with Department of Agriculture and Rural Development, Forest Protection Department of Quang Binh, Quang Ninh district People's Committee	12/9/2016
2	Consultations with Gia Ninh and Hien Ninh commune, Quang Binh province	13/9/2016 and 17/12/2016
<b>VIII</b>	<b>Hai Phong City</b>	
1	Consultations with Department of Agriculture and Rural Development, Forest Protection Department of Hai Phong, Do Son district People's Committee	20/9/2016
2	Consultations with Bang La commune, Do Son district, Hai Phong province	20/9/2016 and 13/12/2016
3	Consultations with Dai Hop commune, Kien Thuy district, Hai Phong province	20/9/2016 and 13/12/2016

41. As per Bank's requirement, SA report is to be disclosed prior to appraisal. The first draft Vietnamese version was disclosed on the website of MBFP in December 16, 2016 and the final draft on January 19, 2017. At the locally provincial, district, and commune levels on from January 17-20, 2017. English version will be disclosed on Bank's website on February 3, 2017.

42. Broad community support for EM was confirmed by free, prior, and informed consultation as per OP 4.10. Before consultations, it was ensured the consulted EM people

could use their own language, and information was provided prior to the meetings.

43. Consultation results indicated that there is broad community support from affected EM peoples for the project implementation because project activities will bring about benefits to local EM people, although some marginal and temporary impacts could take effect. The potential impacts will be confirmed during the detailed design stage. Adverse impacts, if any, will be addressed as per subprojects EMDPs.

**Table 5: List of consulted agencies and people**

<b>Level</b>	<b>Participants</b>
Province	<ul style="list-style-type: none"> <li>• Representatives of DARD, Forestry Project Management Board, Department of Natural Resources and Environment, the FPD or the Forestry Department, the Board of Management of protection forests.</li> <li>• Representatives of civil society organizations (Provincial Farmers Association, Provincial Women's Union, Provincial Fatherland Front...).</li> <li>• Representatives of the Committee of Ethnic Minorities Affairs</li> <li>• Representatives of the Management Board of Forestry projects, MARD</li> </ul>
District	<ul style="list-style-type: none"> <li>• Representatives of the district authorities, the beneficiaries and stakeholders affected by the activities of the project.</li> <li>• Representatives of the district offices, such as: the division of Ethnology, the division of Natural Resources and Environment, the division of Agriculture, Forestry and Fisheries and the division of Labor and Social Affairs.</li> <li>• Representatives of the social organizations of the district (e.g. Society of farmers, women, the Fatherland Front, the elderly associations, etc.) and community representatives of vulnerable people.</li> <li>• Representatives of the Management Board of Forestry projects, MARD.</li> </ul>
Commune	<ul style="list-style-type: none"> <li>• Representatives of the commune authorities, and stakeholders affected by the project activities</li> <li>• Officials in charge of ethnic minority affairs, labor, social affairs, and agricultural extension services</li> <li>• Representatives of social organizations at communal level (Association of farmer, women, Fatherland Front...) and representatives of vulnerable people</li> </ul>
Community	<ul style="list-style-type: none"> <li>• Among 321 families consisting of poor, fair and rich households and single women and ethnic minority representatives, 16 focused groups were selected for in-depth interviews about forest owners, management of coastal forests, status of rural infrastructure and livelihood</li> </ul>



## PART II: OVERVIEW OF PROJECT PROVINCES

### 2.1. Characteristics of Project Provinces

44. **Quang Ninh** province has over 250 km coastline, more than 6,000km<sup>2</sup> of sea area with more than 2,700 islands, 40,000 ha tidal flats and 20,000 ha bays. Ten per fourteen provincial districts and towns are adjacent to the sea (two of which are Co To and Van Don island districts). The total area of the coastal localities and the islands accounts for 72% of the total provincial area and 72.5% of the total population; the island area itself accounts for 11.5% of the total natural area of the whole province. Coastal districts that have advantages of tourism and aquaculture are Mong Cai, Co To, Ha Long, Hoanh Bo, Tien Yen. The economic benefits brought to coastal farmers through commercial exploitation of marine tourism services, fishing and aquaculture.

45. **Hai Phong** is a port city, the main gate to the sea of the northern provinces, a growth pole of the northern key economic zone, and an important transport hub for road, rail, aviation and maritime of both domestic and international connections. The comparative advantage facilitates Hai Phong in marine economic development, sea port, marine tourism, fisheries, oil and gas and other marine economic services, etc. Industry continues to play a major role, accounting for 31% of the city's GDP. Agricultural economy shifted towards industrialization and modernization ensuring the food security. The proportion of animal husbandry production accounted for 40-42% of the entire agricultural value (nearly 35% in 2005). The advantage of sea and sea port is taken for quite comprehensive exploitation of maritime economy; the traditional marine economic areas continue to be invested, with capacity building, rapid growth, and competitiveness improvement.

46. **Thanh Hoa** province rapidly develops its production and trading across all sectors, focusing on coastal economic development as an “economic locomotive”. Petrochemical industry, thermal power, metallurgy, mechanical engineering are selected as key sectors for provincial development and interests also given to general sectors like services and fisheries, etc. Thriving industries with potential and advantages for breakthrough in the economic growth and regional economic structure shift such as petrochemical industry, steel rolling, shipping mechanical, thermal power, cement, construction materials, textiles, footwear, seafood processing are focused by the province. Investment promotion stepped up, creating favorable conditions for attracting domestic and foreign enterprises to invest in Nghi Son economic zone, industrial parks, industrial clusters and craft villages, striving to fill 60% of the Nghi Son economic zone, Hoang Long industrial park (Hoang Hoa). Thanh Hoa coastal area is known for the two famous resorts of Sam Son and Hai Tien. The synchronous development of tourism infrastructure in Sam Son done by the province made it become a tourist city.

47. With a length of over 80km coastline, **Nghe An** has more resources and advantages for the coastal economy exploitation. The coastal household economy of Nghe An mainly depends on aquaculture and fishing. Besides, Cua Lo tourist town's revenue steadily increases annually. With the advantage of a long coastline, convenience for trade circulation of goods, southeastern economic zone with 188.3 km<sup>2</sup> is established by Nghe An province, including parts of Nghi Loc and Dien Chau districts, and part of Cua Lo town. As planned,

this is a general, multi-disciplinary and multi-functional economic zone, expected to become an international trade hub, center of industrial and tourism, a big seaport of the North Central of Vietnam.

48. Having a length of nearly 140 km coastline along the districts of Nghi Xuan, Loc Ha, Thach Ha, Cam Xuyen and Ky Anh, marine economy of **Ha Tinh** province has both advantages and challenges. The coastal fishermen lives depend mainly on agricultural crops, aquaculture and salt production. Coastal commercial services strongly developed in Thien Cam town (Cam Xuyen) and Vung Ang Economic Zone (Ky Anh). Especially, Son Duong deep-water port (Vung Ang) has capacity of 30 million tons of goods/year being a key economic zone of the region and the whole country. It belongs to the East-West economic corridor along Highways of 8A, 12A connecting to Cau Treo and Cha Lo. Thus, Vung Ang port is connected to the international maritime routes to other countries in South Asia, North America and Europe. Vung Ang is also the shortest sea gateway of Laos and Northeast Thailand. The Vung Ang - Son Duong deep water port has a high depth of sea bed for high bearing capacity ships and boats with 5 and 30 thousand tonnage accessibility. This is also the shortest route from Vietnam seaport to Central Laos and Northeast Thailand with approximately 400km in distance.

49. **Quang Binh** province has more than 100km coastline along districts of Quang Trach, Bo Trach, Dong Hoi City, Quang Ninh and Le Thuy, and five estuaries of which the two largest are Gianh and Nhat Le. Quang Binh has a quite large water surface that is very potential for aquaculture with a total area of 15,000ha. The salinity of the water surface from the estuary to about 10-15km further is favorable for export aquaculture. Coastal semi-diurnal regime facilitates the water supply and drainage for a shrimp, crab and other seafood farming lakes. Coastal tourism in Quang Binh are gradually perfecting infrastructure investment to become a key economic sector of the locality, typical resorts such as Sun Spa Resort phase II of Truong Thinh JSC; Vung Chua-Dao Yen Ecotourism zone and some coastal hotels gradually meet the needs of national and international markets. For marine economic development orientation, Quang Binh focus on the construction of Hon La economic zone as a general economic zone with key sectors of auxiliary industries, power generation, shipbuilding, fishing boat building, cement, glass manufacturing and others; Hon La port services, Vung Chua - Dao Yen tourism, urban and other economic sector developments.

50. With 75km of coastline, **Quang Tri** has good conditions for marine economy development. With the key exploiting areas such as mining, marine transport services, tourism, and along with the planning for My Thuy deep-water port, the PM has agreed to add the southeast marine economic zone of Quang Tri province into the coastal economic zone development planning of Vietnam by 2020, create a large sea port complex, capacity building through the seaports of Quang Tri, a transport hub for continuous operating axis in the East-West economic corridor. Tourism has great potential as the industry has made great contributions to the economy; select a number of attractive tourism products, features to build a strong tourism brand as travel to the old battlefield, the East-West economic corridor, marine- island ecology, relics visit; the rapid development of tourism services at CuaViet-Cua Tung-Con Co islands. Marine aquaculture area increased over the years. The province invested and concentrated on processing frozen seafood exports, upgrading fishery services aiming to create favorable conditions for economic development as the Cua Viet and Cua

Tung aquatic centers, fishing ports and fisheries logistics area in Con Co island.

51. The main coastal economic sectors in **Thua Thien Hue** are tourism and aquaculture. Aquaculture is a key economic sector, the aquaculture and fishing movements are strongly developed in the province. Fishing shifted towards offshore focusing on high value export products. Thua Thien Hue province has 126 km and more than 22,000 ha of water surface area of Tam Giang - Cau Hai lagoon; 45 communes and towns have marine, coastal areas and lagoons with population of over 35 thousands, and nearly 23 thousands of which are fishing and aquaculture farmers. Regarding tourism, with the advantage of long coastline and many major tourist attractions such as Thuan An, Canh Duong, Vinh Thanh, Vinh Hien Vinh An, Quang Cong, Quang Ngan, and Lang Co, etc., the province is focusing on promoting investment into the tourist areas, infrastructure development and marine tourism advertisement, making the marine tourism of Hue became a trademark and connecting with the tourism development of the Central provinces. Economic zone development: located in a strategic position as an important exit door of East-West economic corridor, along with a proper development strategy, open incentive mechanism for investor attraction, the Chan May - Lang Co become a modern and dynamic key economic zone of the central region, an growth engine to attract more investors in major projects such as the Banyan Tree Group - Singapore, Lang Co golf resort, industrial park infrastructure and non-tariff areas of the Saigon Investment Group, petroleum depots and oil port of Vietnam Oil and Gas group (Petro Vietnam).

## **2.2. Climate Conditions of Project Area**

52. The coastal strip in the project area has the northernmost point in Quang Ninh province at Got Cape in Tra Co commune, Mong Cai town (21<sup>0</sup>40' north latitude, 108<sup>0</sup>31' east longitude) and the southernmost point in Thua Thien Hue (16<sup>0</sup>12'00" north latitude, 108<sup>0</sup>00'00" east longitude (defined by DARD in Thua Thien Hue province, 2016). Temperature and humidity conditions allow the development of mangrove forests, but optimal conditions are only present in northern Quang Ninh, Ha Tinh and Thua Thien Hue provinces. Adverse effects for both mangroves and sandy soil forests are the large temperature range, hurricanes and tropical depressions. On average, there are 2.5 storms directly hitting the coast of the project province every year. Quang Ninh province has the highest number of storms.

53. Plants are generally influenced strongly by temperature, rainfall and the humidity regime which directly impact the growth and development thresholds of plants, especially mangroves. Appropriate temperature for the physiological activity of mangrove trees is 25-28°C (Phan Nguyen Hong, 1999) and these activities decrease when the temperature exceeds 35°C (Ball M., 1988). At 38-40°C, the trees physiological process cease to operate (Clough B.F., Andrews T.J. and Cowan I.R., 1982), (Andrews T.J., Clough B.F., Muller G.J., 1984). Rainfall affects growth, the number of species and size of mangrove trees. In tropical regions, such as Thailand, tropical Australia and Vietnam, mangrove forests develop in areas with high annual rainfall (1,800-2,500mm); in the areas with low rainfall, the number of species and tree size is reduced (Phan Nguyen Hong, 1991).

54. Wind directly affects forest formation. Wind increases evaporation, disperse seeds and seedlings, change tidal and coastal currents, transport alluvial sediments and help to establish new sites for mangroves to establish. The monsoon increases rainfall and bring cold

air (northeast monsoon) or hot dry air (southwest wind). Strong winds cause large waves, especially during storms, with the potential to damage coastal trees and infrastructure.

55. In short, climatic conditions affect species composition, growth and development of forest flora and fauna. Climate and weather factors have the potential of defining the success or failure of afforestation activities. Therefore, project planning and implementation of reforestation plans is essential to avoid seedlings losses to storms, floods and drought.

## 2.3. General Socio-Economic Profile of Project Provinces

### 2.3.1. Population

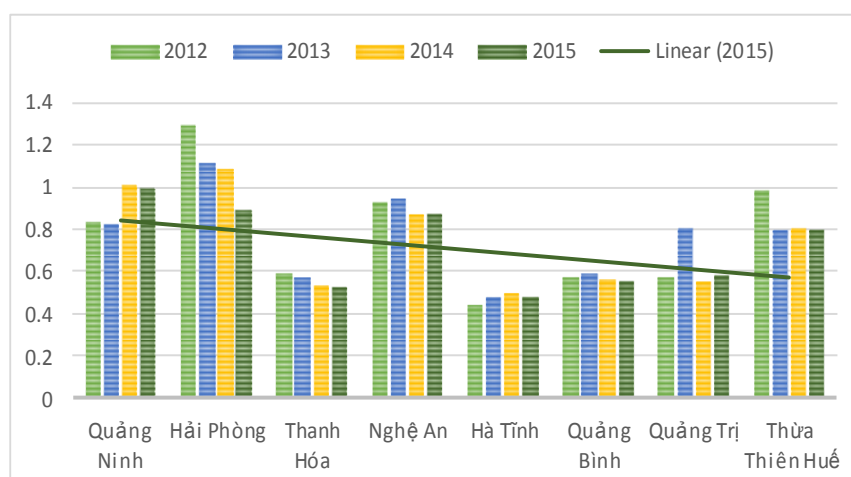
56. Total population of the eight project provinces is 13,647.5 thousand people, according to 2015 statistical data. Of which, Thanh Hoa and Nghe An are the two largest population provinces with 3.514 million and 3.063 million people, respectively. The average population density is 333 people/km<sup>2</sup>. The highest populated density is Hai Phong city at 1,285 people/km<sup>2</sup> and the lowest is Quang Binh at 108 people/km<sup>2</sup>.

**Table 6: Population and population density by project provinces**

Province	Population (thousands)			Population density (people/km <sup>2</sup> )
	Total	Male	Female	
Quảng Ninh	1,211.3	607.1	604.2	199
Hải Phòng	1,963.3	975.8	987.5	1,285
Thanh Hóa	3,514.2	1,744.9	1,769.3	316
Nghệ An	3,063.9	1,526.6	1,537.3	186
Hà Tĩnh	1,261.3	619.3	642.0	210
Quảng Bình	872.9	436.9	436.0	108
Quảng Trị	619.9	304.8	315.1	131
Thừa Thiên Huế	1,140.1	566.1	574.0	227
<b>Total</b>	<b>13,647.5</b>	<b>6,781.5</b>	<b>6,865.4</b>	<b>333</b>

Source: Statistical Yearbooks of the project provinces, 2015

57. The average annual population growth (2012-2015) in the project area is 0.745%, which is lower than the nation's average of 1.06% for the period 2009-2014. Hai Phong has the highest population growth rate while Ha Tinh, Thanh Hoa and Quang Binh



**Figure 2. Population growth rate by year**

provinces have the lowest population growth rates at 0.48%, 0.52% and 0.55% in 2015, respectively. The trend is reducing as provinces have well implemented the national program for family planning and controlled the birth rates.

### 2.3.2. Ethnicity

58. In the eight targeted provinces, the majority of coastal rural households are Kinh people, (major ethnic group of Vietnam) accounting for more than 90% of total population. EM groups include the Tay, Thai, Muong, Khmer, Chinese, Nung, Mong, Dao, Tho and Day who mostly live in the mountainous areas.

**Table 7: Ethnic composition of the 8 project provinces (person)**

No	Provinces	Population	Ethnic minorities		Composition of majority EM groups					Other
			Total	Rate	Tay	Thai	Dao	Muong	Tho	
1	Quang Ninh	1,200,300	69,874	5.82	3,501	450	59,156	535	52	6,180
2	Hai Phong	1,963,300	3,204	0.16	1,050	243	65	323	19	1,504
3	Thanh Hoa	3,514,200	601,074	17.02	795	225,336	5,465	341,359	9,652	15,467
4	Nghe An	3,063,900	349,705	11.41	744	259,132	39	688	59,579	29,523
5	Ha Tinh	1,261,300	1,529	0.12	280	500	84	549	37	79
6	Quang Binh	872,900	630	0.07	81	332	4	126	21	66
7	Quang Tri	619,900	335	0.05	42	79	2	68	10	134
8	Thua Thien Hue	1,140,700	1,556	0.14	145	577	9	238	50	537
	<b>Total</b>	<b>13,636,500</b>	<b>1,027,907</b>	<b>7.54</b>	<b>6,638</b>	<b>522,649</b>	<b>64,824</b>	<b>343,886</b>	<b>69,420</b>	<b>53,490</b>

Source: Institute of Ethnology, Vietnam Academy of Social Sciences (VASS), 2014

### 2.3.3. Labor and Employment

59. In the project provinces, local labor is mainly dependent on agriculture, forestry and fishery production. Labor in agriculture, forestry and fishery sectors account for 58.9 % to 59.8% in comparison with other sectors.

**Table 8: Labor in agriculture, forestry and fishery (1,000 persons)**

Province	Total employed population			% of population working in agriculture, forestry and fishery		
	2013	2014	2015	2013	2014	2015
Quang Ninh	711.4	697.3	692.4	59.9	58.1	57.2
Hai Phong	1,125.6	1127.7	1128.1	58.5	57.9	57.5
Thanh Hoa	2,224.2	2231.8	2238.3	64	63.8	63.7
Nghe An	1,920.4	1953.1	1892	63.8	64.3	61.8

Province	Total employed population			% of population working in agriculture, forestry and fishery		
	2013	2014	2015	2013	2014	2015
Ha Tinh	700.9	727.8	745.3	56.1	58	59.1
Quang Binh	516.5	528.9	520.3	59.8	60.9	59.6
Quang Tri	346.2	348.6	349.7	56.5	56.6	56.4
Thừa Thiên Huế	636.6	662.6	636.2	56.7	58.5	55.8
<b>Total</b>	<b>8,181.8</b>	<b>8,277.8</b>	<b>8,202.3</b>	<b>59.4</b>	<b>59.8</b>	<b>58.9</b>

Source: Statistical Yearbooks of the project provinces, 2015

60. Labor force by sex showed relatively equal between man and women. Male workforce is lightly higher than female at about 6%.

### 2.3.4. Income

61. During the period of 2008-2014, per capita income per year has increased from VND10 million to 25 million, which reached equivalently to the national average growth rate for the last 7 years. Agriculture, forestry and fishery sectors contribute around 30% of the total income of the local people. The remaining 60% comes from other diversified sources such as labor hiring, wages, businesses.

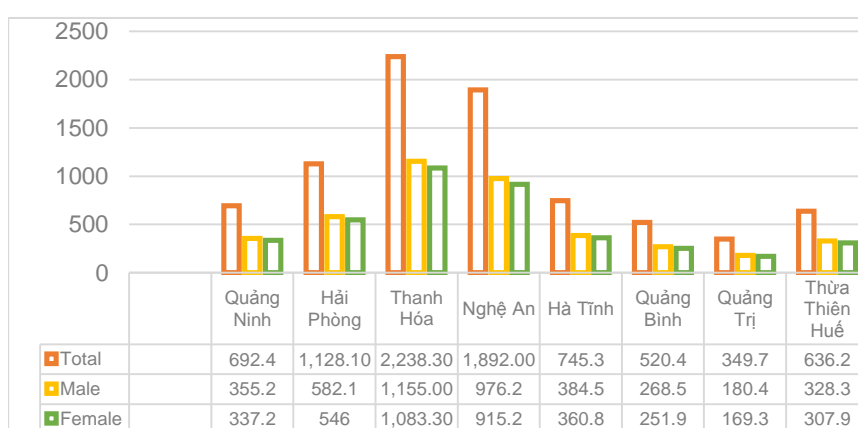


Figure 3. Labor by sex (1,000 persons)

Table 9: Income per capita per month

Province/City	Income by year (1,000 VND)				
	2008	2010	2012	2014	2015
Quảng Ninh	867	1,328.3	2,557.3	3,052.6	-
Hải Phòng	1,199.4	1,694.0	2,526.2	3,923	4,236.8
Thanh Hóa	605	839.7	1,287.6	1,735	1,985
Nghệ An	640	919.6	1,572.0	1,732	1,883.2
Hà Tĩnh	594.8	839.7	1,307.5	1,810.1	-
Quảng Bình	645	950	1,437	1,839	-
Quảng Trị	659.6	950.7	1,342.6	1,804.4	-

Province/City	Income by year (1,000 VND)				
	2008	2010	2012	2014	2015
Thừa Thiên Huế	804	1,192.5	1,739	2,187.9	2,414.2
Project provinces average	1,002	1340	1,972	2,512	-
National average	995	1,387	2,000	2,637	-

Source: Statistical Yearbooks of the project provinces, 2015

62. Although the sectors of agriculture, forestry and fisheries remains a key economic sector for rural people, especially in coastal areas, these sectors' productivity is limited. Therefore, increasing the productivity of these sectors is important.

### 2.3.5. People's livelihoods

63. The project area is a region of diverse production in agriculture (rice, maize, potato, cassava, peanuts, beans, vegetables, fruit trees on residential land, raising cattle, pigs, goats, chickens, ducks, and so on), fisheries (marine shrimp, clams, sea oysters, pond and sea fish), forestry (planting protective forests, mining wood, oils), industry (seafood processing, fishing ports, small shrimp hatcheries, fish, shrimp feed) and handicraft services (small traders, markets and handicraft establishments). Over the last few years, industrial prawn farming has rapidly grown throughout the project areas. Despite the range of production activities, there are still constraints including lack of capital, difficult traffic conditions and low levels of technical qualifications.

### 2.3.6. Poverty

64. Vietnam has achieved great achievements in hunger eradication and poverty alleviation over the past two decades through the implementation of the Program 135, Resolution 30A of the Government. The poverty rate of the project provinces has also significantly improved

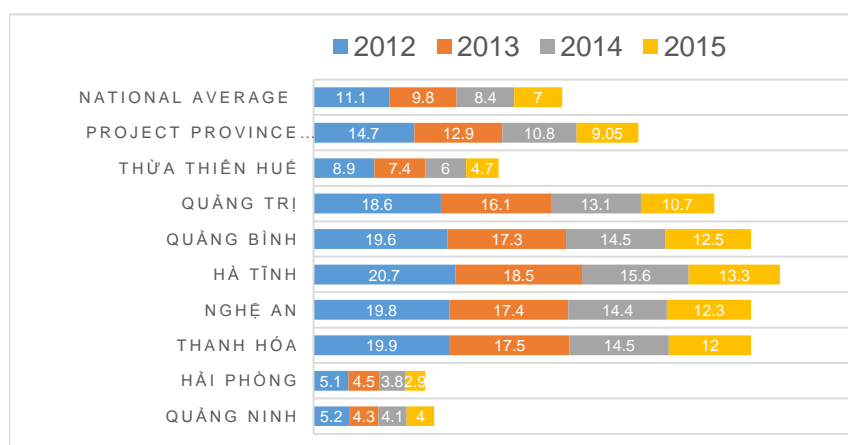


Figure 4. Poverty rate according to the Government's new poverty line from 2012 to 2015

between 2012 and 2015. The poverty reduction programs contain specific actions such as access to low credit schemes, free medical care and education as well as vocational training and extension services for agriculture, forestry and fishery sectors to enhance productivity. Many poor rural households in the project provinces have benefited from these programs.

65. Among others, Ha Tinh remains the highest poverty rate, followed by Quang Binh, Nghe An, Thanh Hoa mostly because of the proportion of high poverty rate in the mountainous districts. People's living standards in the coastal areas are often higher than people in mountainous areas and as such poverty rates in the coastal areas lower than in the

mountains areas. But coastal areas are often affected by natural disasters so people in these areas still face difficulties.

### 2.3.7. Land use situation

66. Current land use in the 8 project provinces could be classified into four main categories: agricultural land, forest land, specialized land and residential land. Vacant land in the coastal areas is mainly coastal sand dune land, which is planned for forestry purposes, by the project.

**Table 10: Current use of land by December 31, 2015, by type of land (1,000 ha)**

Project provinces	Total area	Agricultural land	Forestry land	Specialized land	Residential land
Quảng Ninh	610.2	49.4	391.5	43.2	10.0
Hải Phòng	152.7	49.3	19.7	27.5	13.9
Thanh Hoá	1,113.0	247.5	585.6	73.8	52.7
Nghệ An	1,649.0	276.1	963.7	72.0	20.6
Hà Tĩnh	599.8	130.1	351.9	44.8	9.7
Quảng Bình	806.5	82.8	630.9	28.6	5.5
Quảng Trị	474.0	95.3	286.9	17.8	4.5
Thừa Thiên Huế	503.3	60.8	325.2	32.2	18.1

Source: National Statistical Yearbook, 2015

67. There is great variation between provinces. Quang Binh has 78.2% forest cover while Hai Phong, an industrial urban city, has only 12.9% forest cover. But there are still opportunities for both the economic development and protection of natural resources and environmental assets in the project area - which is important as there are about 25 million poor and EM people who depend on forests for their livelihoods and energy needs.

**Table 11: Statistics on coastal forest land (ha)**

Coastal mangroves forests				Coastal inland forests			
Specialized forest	Protection Forest	Production Forest	Land without forest	Specialized forest	Protection Forest	Production Forest	Land without forest
385 ha (natural forests)	26,770 ha (17 514 ha natural forest; 9,256 ha planted forest)	326 ha (whole planted forest)	11,375 ha	8,013 (7,739 ha of natural forest; 274 ha of planted forest)	25,377 ha (6,155 ha of natural forest; 19,222 ha of planted forest)	26,437 ha (whole planted forest)	8,973 ha



Source: Project Management Board of Forestry, MARD 2016

68. Coastal forests in the project area are divided into three types. The total area of coastal forests across the eight provinces is 87,305 hectares, including 38,977 hectares of mangrove forest and 68,798 hectares of coastal inland forest. The proportion of coastal forest land for the project provinces is approximately 2% of the total land area, but this area accounts for 22.2% of the total area of coastal forest across Vietnam.

### 2.3.8. Education

69. There are 2,491 primary schools and 1,885 junior high schools with an average ratio one teacher for 19 students at primary schools and one teacher for 16 students at junior secondary schools in the project provinces. Although the data does not provide information on the geographic distribution of middle school and junior high school, there is a difference in the number of primary schools and junior high schools. Although in the project area the rural population is higher than the urban population, the percentage of children attending primary school in the rural and urban areas is the same. But due to the level of low-income families and family's income needs many children drop out of school after completing grade 9.

**Table 12: Number of primary and junior secondary schools in the school year of 2014-2015**

Project provinces	Primary School	Class of Primary school	Junior secondary schools	Class of junior secondary schools
Quảng Ninh	180	4,225	150	2,127
Hải Phòng	216	4,461	184	2,562
Thanh Hoá	709	10,161	636	5,755
Nghệ An	544	9,733	393	5,487
Hà Tĩnh	260	3,789	143	2,395
Quảng Bình	211	3,040	148	1,770
Quảng Trị	155	2,568	112	1,319
Thừa Thiên Huế	216	3,217	119	2,037
Total	2,491	41,194	1885	23,452

Source: Statistical Yearbooks of the project provinces, 2015

70. In general, local people's literacy level in the project provinces is higher than in the mountainous regions. However, literacy levels in the coastal areas is still limited and low labor skill levels and a nomadic life on the lagoons and rivers where rural poor are facing many difficulties. These issues create obstacles in the sustainable management of protected coastal forests and as such it is necessary to create programs to improve community environmental awareness and integrate this into the school curricula.

### 2.3.9. Health facilities

71. In the project provinces, there are 2,484 healthcare services. Currently, most of the rural population in the project provinces have access to medical services.

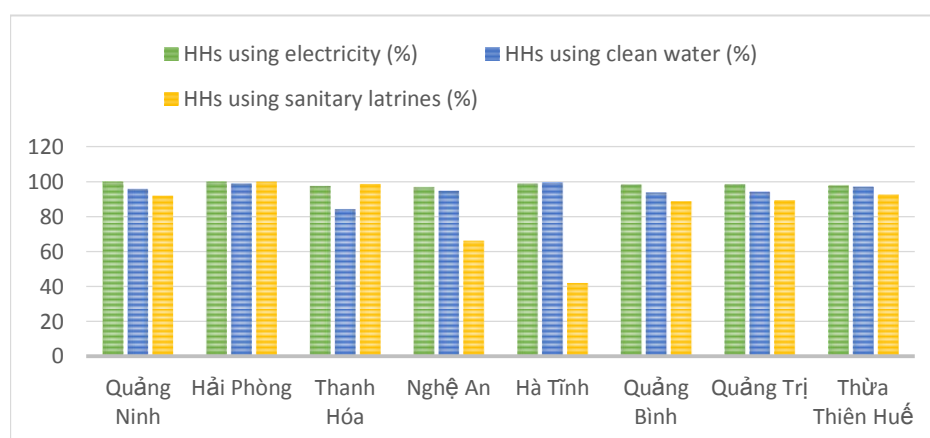
**Table 13: Number of existing health facilities in the communes in 2015**

Project provinces	Total	Hospital	Clinic	Hospital of nursing and rehabilitation	Clinic of commune, ward, office and factory
Quảng Ninh	216	19	10	1	186
Hải Phòng	251	24	2	1	224
Thanh Hoá	687	37	12	1	637
Nghệ An	531	28	22	1	480
Hà Tĩnh	286	18	5	1	262
Quảng Bình	174	8	7	-	159
Quảng Trị	160	11	7	1	141
Thừa Thiên Huế	179	17	8	1	152
<b>Total</b>	<b>2,484</b>	<b>162</b>	<b>73</b>	<b>7</b>	<b>2,241</b>

Source: Statistical Yearbooks of the project provinces, 2015

### 2.3.10. Other services

72. The proportion of households using fresh water and electricity is quite high ranging from 96.8 to 99.9%. During the survey for this project, sanitized water was found to be accessed from five sources: tap water from water treatment plants and water supply stations; well water treated by DARD management; water wells dug by the families themselves; rainwater and river water (for poor residential areas along the river). The use of hygienic drinking water is relatively high, the highest being 99.54% in Ha Tinh province, and the lowest being 84.4% Thanh Hoa province. The use of sanitary latrines is also relatively high; the highest is 99.9% in Hai Phong province and the lowest is 41.91%



**Figure 5. Access to essential services in the provinces and districts of the project in 2014**

Ha Tinh province.

73. In rural areas there are some villages that do not use clean water and lack sanitation standards. Customs and habits in some areas are traditionally conservative and local people have traditionally relied upon clean water resources and have had little incentive to consider environmental hygiene. Currently the collection of household waste is about 30-50% focusing on temporary landfill to decompose waste, but still a lot of household waste is dumped indiscriminately into rivers and streams. Some coastal areas are being polluted by household waste and there are some coastal households that have no sanitation systems discharging waste directly into the sea. Unfortunately, it is difficult to allocate land for landfill in some areas and area is too small to establish a landfill pit for processing.

## 2.4. Current Status of Coastal Infrastructures

### 2.4.1. Traffic system

74. Roads. The coastal road system is relatively developed, including national, provincial, district and inter-communal roads (the average road length is 5.8 km/km<sup>2</sup>). However, the system's distribution and quality are uneven with unstable road-beds and large areas of erosion, especially in sandy areas, impacting on road quality.

75. Waterways. The provinces have thousands of kilometers of sea and river waterways (distributed equally throughout the region), seaports, river ports and boat parking places. This infrastructure supports shipping movements, seafood exploitation and provides safe boat moorings to avoid damaging wind and storms. However, the development of this waterway infrastructure also adversely affects the growth and development of mangrove forests and has led to the pollution of the marine environment.

### 2.4.2. Dike systems and works

76. According to the Vietnam Academy for Water Resources, the dykes Quang Ninh to Quang Nam and from Quang Ninh to Thua Thien Hue have been established over many different periods and lack uniformity in design, construction; and generally they do not meet the technical requirements to protect against high tides and storms, especially with a rising sea level.

**Table 14: Summary table of sea dike types**

Province	Dike length (km)	The area without dike (km)		Dikes directly contacting the ocean (km)	Dikes with mangroves existing in the front (km)	Estuary Dikes (km)
		Rocky mountain	Without mountain			
Quảng Ninh	302.36	131.64	170.72	15.00	75.79	55.37
Hải Phòng	66.10	15.40	0.00	10.00	35.70	30.12
Thanh Hóa	95.00	15.43	43.23	25.34	20.13	48.80
Nghệ An	51.10	12.00	39.10	10.70	24.50	68.46
Hà Tĩnh	135.57	41.55	94.02	9.70	18.10	55.66

Province	Dike length (km)	The area without dike (km)		Dikes directly contacting the ocean (km)	Dikes with mangroves existing in the front (km)	Estuary Dikes (km)
		Rocky mountain	Without mountain			
Quảng Bình	73.15	13.00	60.15	5.00	0.00	81.29
Quảng Trị	67.70	10.50	50.20	7.00	0.00	50.00
Thừa Thiên Huế	118.40	26.10	92.30	0.00	0.00	177.27
Total	909.38	265.62	549.72	82.74	174.22	566.97

*Source: Vietnam Academy for Water Resources, 2016. General Report on Review and Adjustment of the Sea Dyke Planning from Quang Ninh to Quang Nam*

*a. River and Sea dike system*

77. Quang Ninh province sea dikes are quite narrow, ranging from 3.0 to 4.0 meters in width. Many dikes have their width less than 2.0 meter such as Ha Nam dyke, Bac Cua Luc dike and Hoang Tan dike (in Quang Ninh province). There are 66,505 km of embankment. In general, these dikes can resist tides with a frequency of 5% with storms at level 9. Coastal areas of the provinces from Thanh Hoa to Ha Tinh are frequently affected by natural disasters (especially tropical depression storms). The sea dike system of provinces from Quang Binh to Thua Thien Hue are mainly constructed with light silty and sandy soil. Some dikes located behind and far from estuaries and lagoon are constructed of sandy clay soils such as Ta Gianh dike (in Quang Binh province) and Vinh Thai dike (in Quang Tri province). Some dikes with their two or three-sided surfaces are protected by concrete slabs so that floods can run over the dykes such as the Tam Giang Lagoon dykes (Thua Thien Hue province) and the Nhat Le dike (Quang Binh province). Apart from some dykes directly affected by wind and waves most dykes sides are protected by grass, while estuary dikes are protected by mangroves such as *Aegiceras corniculatum*, *Bruguiera* sp and *Rhizophora apiculata*.

*b. Current status of the protection embankment system*

78. Most sea embankments have roofs with a width of 3 to 4 meters. The sea dyke embankments facing the ocean is mainly reinforced by concrete slabs while the embankments of estuary dykes or sea dykes protected mangroves are paved by stone. Key protection areas are mostly reinforced by embankments ensuring stability against waves, wind and tides. The co-main embankment is planted with grass, or grass grows naturally on the embankments, with the width from 2 to 3 meters. Most of the embankments are stabilized to help withstand the direct impact from the sea. Besides the embankments along the dyke route, there are groin systems usually arranged perpendicular to the shoreline. These systems are usually used to limit and prevent wave erosion of coastal beaches and reduce the movement in sand dunes. In the project area, there are ten systems.

*c. Current status of culverts under the dikes*

79. For culverts built in the past, their width is narrower than the current dikes sections, therefore the culvert bodies, surrounding areas and valve systems need to be repaired. The

valve system including the gates and steel rod bodies are generally corroded reducing their operational value, particularly when most needed during storm and flood periods. The design of these culverts has only considered wetting and drainage, but not flooding, climate change of sea level rise.

#### ***2.4.3. General assessment of the infrastructure in the coastal areas***

80. The economic and residential zones in the coastal areas are crowded, and coastal infrastructure is usually established to protect many national key assets in these coastal areas. In general, the coastal infrastructure is not protected by forest belts, or if these belts are available, they are not large enough to protect these important works from natural disasters. The system of dykes, dams, culverts and floodway corridors in coastal areas has not received much investment to upgrade and repair, although these assets are directly affected by strong winds, storms, tides and sand movement. Therefore, additional targeted and low-cost investment is needed to limit the damages caused by natural disasters such as floods. Forest plantations to protect dykes and repair and reinforcement of the dikes (such as increasing dyke height, embankment width, paving stones, planting grass, etc.) is required. The canal systems has also deteriorated. Investment is needed to upgrade irrigation canals, support agro-forestry systems and protect the canals from damage caused by natural disasters thereby improving local people's lives in the coastal areas.

## PART III: RESULTS OF SOCIO-ECONOMIC SURVEY IN PROJECT AREA

81. During August and September 2016 the SA consultants conducted various consultations with local communities and relevant stakeholders regarding the project design, project implementation and potential impacts of the project. The field survey was conducted in 16 communes of project area with 321 households answering questionnaires, in which, 170 households answering in-depth interviews. The consultants conducted assessment based on results of 321 surveyed households as below:

### 3.1. Results of Socio-Economic Survey

#### 3.1.1. Family size

82. The average household members in the project area is 3.83 people, compared with the nationwide average of 3.78<sup>(1)</sup>. The average members per household is different between the provinces, ethnic groups, income groups and gender heads of households. According to the survey data in terms of ethnicity, the household size of the Kinh ethnic group is less than other ethnic groups and households headed by men have a higher number of residents than women-headed household. For male headed households, 41.3% of households had 5 or more people, while only 25.6% of female headed households had 5 or more residents.

**Table 15: The average member number of households (person / household)**

Province/City	The average member households	People by ethnic	
		Kinh group	Ethnic minorities
Quảng Ninh	3.66	3.59	3.88
Hải Phòng	3.35	3.35	0
Thanh Hóa	4.11	4.08	4.66
Nghệ An	3.47	3.38	4.25
Hà Tĩnh	3.41	3.41	0
Quảng Bình	4.04	4.03	4.36
Quảng Trị	4.54	4.47	5.23
Thừa Thiên Huế	4.02	4.02	0
<b>Average rate of region</b>	<b>3.83</b>	<b>3.79</b>	<b>4.48</b>

*Source: Field survey results in August and September, 2016*

83. The structure of surveyed households in project areas shows that 40.7% of households had 3 to 4 residents, 38.2% of households had 5 to 8 people with fewer households with only 1 to 2 people (13.4%), or more than 9 people (1.4%). Currently in Vietnam, smaller family

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<sup>(1)</sup>Sources: The 2014 Vietnam intercensal population and housing survey population structure and related socio-economic issues in Vietnam. Vietnam news agency publishing house Ha Noi, 2016

size with few children is more common and the nuclear family model accounted for approximately 60.4%. This rate is lower compared with data from more recent studies that have a ratio of the nuclear family model at 68%. The size of EM households is generally larger than Kinh households; the rate of Kinh households with 5 or more people is 38.4%, while for EMs 5 or more people in a household was evident in 45.1% households.

### 3.1.2 Gender disaggregation

84. Among the 321 respondents there were 165 male interviewees (51%) and 156 female interviewees (49%). The survey also showed that women in project areas have good awareness of the socio-economic issues and participated very actively in activities in the local community, the position of the woman has been changed and raised higher. In the recent years, due to support of Women of Union's, participation has increased in community meetings. Local women, more proactively are participating with decision making in both domestic family (expenditure and savings for their family, education and job of their children) and community social issues (discuss on technical option for proposed works).

### 3.1.3. Occupation

85. The occupational structure of respondents to the SA showed 31.4% of participants were involved in agro-forestry and fishery, in which agriculture has the highest number of respondents (20.21%), followed by fishing with 7.03% and then forestry with 4.15%. After primary production, the second highest occupation was study (17.65%) and then occupations including staff/officers, workers, trade/services, handicraft and homemakers making up around 5% or less of occupations conducted by respondents to the SA survey.

**Table 16: Occupation of the household members interviewed (person)**

	Quảng Ninh	Hải Phòng	Thanh Hóa	Nghệ An	Hà Tĩnh	Quảng Bình	Quảng Trị	TT Huế	Total	%
Agriculture	30	7	7	20	21	67	66	35	<b>253</b>	20.21
Forestry	24	4	5	2	6	4	2	5	<b>52</b>	4.15
Fishery	16	8	7	3	13	17	16	8	<b>88</b>	7.03
Trade, Service	9	5	14	12	3	3	6	7	<b>59</b>	4.71
Official, officer	2	6	7	2	1	11	18	7	<b>54</b>	4.31
Worker	3	6	4	4	3	8	19	18	<b>65</b>	5.19
Employee	5	14	18	21	9	25	11	21	<b>124</b>	9.90
Pupil, student	7	12	22	32	17	29	55	47	<b>221</b>	17.65
Retired, Elderly	3	23	14	13	12	2	6	10	<b>83</b>	6.63
No job, No work	7	26	7	24	7	10	14	17	<b>112</b>	8.95
Under age 6	5	10	11	15	8	13	12	7	<b>81</b>	6.47
Other occupation	5	3	4	8	23	3	2	12	<b>60</b>	4.79

Source: Field survey results in August and September, 2016

86. Forest development in coastal area must be accompanied by community development efforts of the coastal residents. The development of farming models which are sustainable and adapted to climate change; long term forest land allocation and contracting to provide incentives for community participation; creating market conditions to maximize the benefits of forest ecosystem's services (i.e. via sustainable production of forest-seafood and agro-forest products); support the cooperation between communities and markets via cooperative development models; and development of transparent value chains and inclusive business models to increase income levels of households in the project area.

### 3.1.4. Poverty

87. According to the survey data, 47.3% of householders are classified as near poor or poor households while 41.1% of households are classified as average and 11.5% of households are classified as better-off.

**Table 17: The economic situation of households (households)**

Province/City	The economic situation of interviewed households			
	Better-off	Average	Near poor	Poor
Quảng Ninh	3	24	1	4
Hải Phòng	4	19	5	6
Thanh Hóa	3	11	11	4
Nghệ An	2	16	5	21
Hà Tĩnh	0	17	3	17
Quảng Bình	5	5	17	20
Quảng Trị	10	25	6	9
Thừa Thiên Huế	10	15	7	16
<b>Total on whole region</b>	<b>37</b>	<b>132</b>	<b>55</b>	<b>97</b>
<b>Percentage</b>	<b>11.5</b>	<b>41.1</b>	<b>17.1</b>	<b>30.2</b>

Source: Field survey results in August and September, 2016

88. The results from 19 EM households interviewed, 12 householders are classified as having a good or average economic status and 7 ethnic household are classified as poor or near poor.

**Table 18: Economic status of ethnic minority households (households)**

No	Ethnic	Economic status of interviewed households			
		Good	Average	Near poor	Poor
1	Kinh people group	36	121	52	92
2	Ethnic minorities	1	11	3	4



Source: Field survey results in August and September, 2016

### 3.1.5. Income and expenditure

#### a. Income

89. It is usually hard to have accurate figure of incomes. Yet through actual observation and detailed interviews about household living conditions, the surveyors collected information rather detailed on household income sources, of

the interviewed. The survey results showed that participating households averaged income of VND 1,902,600 per month, lower than the 2015 national average. Among the project provinces, households in Ha Tinh and Thanh Hoa provinces have the lowest incomes (about VND1.6 million VND per month), while incomes for households in Quang Ninh and Hai Phong provinces are more than VND2.3 million per month.

#### b. Sources of income

90. The income sources of surveyed households are quite varied and depend on the features and advantages of each province. While the survey area is a coastal area, incomes are fairly evenly split between agro-forestry and fishery enterprises, non-agroforestry and fishery enterprises and from wages and salaries.

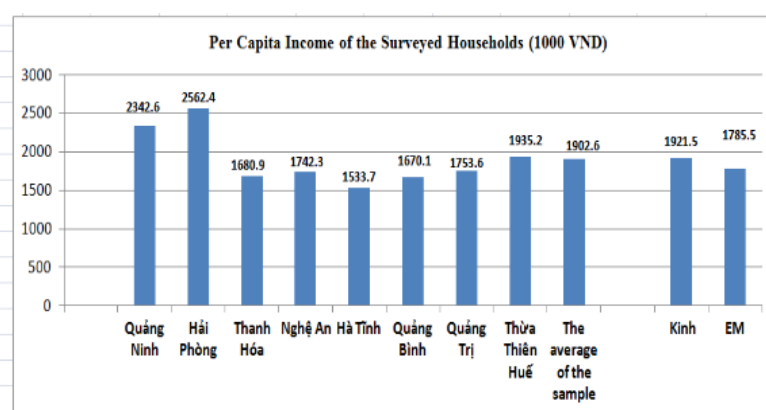


Figure 6. Per capital income of the surveyed households (1000 VND)

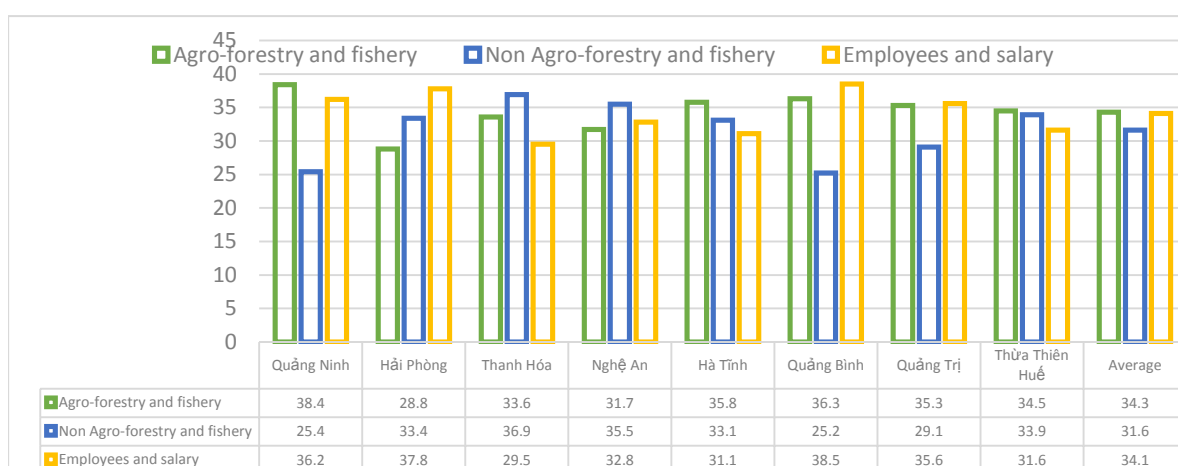


Figure 7. Income sources by Agro-forestry and fishery, non Agro-forestry & fishery and Employees and salary

91. Overall, agriculture-forestry and fishery is a key sector in the economy of the project area. As in table below shows that agriculture is the mainly income source (56.06%) followed by fisheries (31.20%) and then the forestry sector (12.74%). Income from the forestry sector is generally lower than agriculture or fishing because the forest area under management by households is small and residents along the coast do not generally use forest land for

production purposes.

**Table 19: Income structure of surveyed household (%)**

Provinces	Structure (%)		
	Agriculture	Forestry	Fishery
Quảng Ninh	50.6	21.6	27.8
Hải Phòng	65.2	10.5	24.3
Thanh Hóa	58.1	13.6	28.3
Nghệ An	53.4	12.2	34.4
Hà Tĩnh	61.6	9.2	29.2
Quảng Bình	51.8	12.8	35.4
Quảng Trị	52.9	9.4	37.7
Thừa Thiên Huế	54.9	12.6	32.5
<b>Average</b>	<b>56.06</b>	<b>12.74</b>	<b>31.20</b>

*Source: Field survey results in August and September, 2016*

92. Moreover, for forests on sandy soils direct income is low due to low productivity on these soils. However, households living in these areas have noted that where protective forests are established, agricultural productivity (such as growing rice, sweet potatoes, corn, etc.) is higher and more stable than areas without protective forest. The forests protect from sand blowing, quicksand, hot drying winds and salt from the sea.

93. This demonstrates the importance of forest to increasing and stabilizing household economic development. Therefore, 100% of interviewed households are expecting the FMCR project to be implemented so that people can directly benefit from the project through forest planting and tending and the long-term (20 years) land allocation and contracting.

94. For mangrove areas, mangroves perform a vital role in the productivity of highly dynamic wetland ecosystems, the provision of which is largely determined socio-economic as aquaculture in Dong Rui and Van Ninh communes respectively. In accordance with data after getting consultations of leaders at district and commune level, as well as interviewing of people living around mangrove forest, fishing, seafood farming under forest canopy are their main livelihoods. Particularly, at Dong Rui commune, Tien Yen district, there are about 60-70% of Dong Rui people sticking to Mangrove forest. Many women catch seafood all year around. In summer or after school, many kids support their parents to catch seafood, even there are families with 4 people catch seafood. On average, Dong Rui people can earn VND150,000-200,000/day on catching seafood under Mangrove forest canopy. Most of households eradicate poverty by promoting potentials of Mangrove forest and so far in the commune, 70-80% of residents have high-storey houses, stable income of 3-4 million/month. Not only for Dong Rui, consultation results at Van Ninh commune, Mong Cai district show

that income from mangrove resources is averagely VND200,000-250,000/day in the commune; equivalent to 1.5-2 million/month. Catching work attracts students out of class hours. Main activities are catching clam, sipuncula, cobia, feeding crabs in mangrove forest. Main laborers are women in family. On average, catching time is 10-15 days/month (depending on cooking time); working is a half-day (from 5h a.m. to 11h a.m.). Thereby, interests of people living along coast with certain income under forest canopy is clear and the project of allocation forest to people for long-term management and protection and for sustainable use of forest ecosystem's values is suitable with local conditions.

### *c. Expenditure*

95. Average household spending per month ranges from VND2,000,000 to VND2,800,000 and the value of average is VND2,400,000 (this excludes families with children away attending universities or colleges in cities such as Ha Noi or Ho Chi Minh City). In general, most of the families whose children are attending secondary vocational schools must obtain loans.

96. Although there is a small gap between income (Average household income of VND1,902,600 per month) and expenditures (from VND2,000,000 to VND2,800,000) in the interviewed households, the fact the results of survey show that the living standards of people in the project area are increasing, reflected by items used in the household such as televisions, refrigerators, motorcycles, gas stove, etc., suggests that households are increasingly concerned with their enjoyment and health.

97. Agriculture, forestry and fishery remains a key economic sector to create jobs for local people, but productivity is still limited. Recently, Formosa (Taiwanese company) environmental pollution disaster in the ocean along coastal line of Nghe An, Ha Tinh, Quang Binh and Thua Thien Hue provinces is one of the reasons causing significant losses of livelihoods for coastal residents in these provinces. Therefore, the project will need approaches to the transform rural livelihoods by supporting local people to protect and sustainably manage coastal forests.

### **3.1.6. Education**

98. Approximately 91.0% of the population in the project areas received an education from primary school up to university. Graduates of junior high and high school leavers makes up more than 68% of the project population. The proportion of the population not attending school in the whole project area is 5%. The highest dropout rate is found in Quang Tri province and (10%) and Thua Thien Hue province (15%). The three main reasons for non-attendance is: expense, necessity to work at home and dislike for school.

99. The proportion not attending school in the project provinces is higher than the national average (The national average proportion not attending school is 1.78% stated by Ministry of Education and Training<sup>(2)</sup>). This rate does not differ greatly between the project provinces, except in the cases of Quang Binh province which has a high number of pre-schools (18.5%).

100. In general, the educational level of the people in the project area is relatively high.

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<sup>2</sup>Viet Nam Education for All 2015 National Review, Ministry of education and training, 2015

The survey and group discussions with the local people showed ability of the community to participate and provide comments to the project. Therefore, during the dissemination of information related to the project as well as public consultation on the proposed technical options, the right approach should be prepared so that the communities understand the nature and significance of the project as well as participate and support the project.

**Table 20: The percentage of school-age children not attending school (%)**

Province/City	School-age children not attending school	Percentage% of the total samples	Ethnics	
			Kinh	Ethnic Minorities
Quảng Ninh	0	0	0	0
Hải Phòng	0	0	0	0
Thanh Hóa	0	0	0	0
Nghệ An	2	5%	2	0
Hà Tĩnh	2	5%	2	0
Quảng Bình	1	2%	0	1
Quảng Trị	5	10%	2	3
Thừa Thiên Huế	7	15%	7	0
<b>Total</b>	<b>17</b>	<b>5%</b>	<b>13</b>	<b>4</b>

*Source: Field survey results in August and September, 2016*

101. Among the 17 school-age children not attending school, 13 are Kinh and 4 from other EMs groups.

**Table 21: The cause leaving primary and secondary school (pupil)**

Province/City	Causes of leaving school				
	Need to work for family	Too expensive costs of education	Poor learning	Schools too far	Difficult travel
Quảng Ninh	0	0	0	0	0
Hải Phòng	0	0	0	0	0
Thanh Hóa	0	0	0	0	0
Nghệ An	0	2	0	0	0
Hà Tĩnh	0	2	0	0	0
Quảng Bình	1	0	0	0	0

Province/City	Causes of leaving school				
	Need to work for family	Too expensive costs of education	Poor learning	Schools too far	Difficult travel
Quảng Trị	0	5	0	0	0
Thừa Thiên Huế	1	4	2	0	0
<b>Total</b>	<b>2</b>	<b>13</b>	<b>2</b>	<b>0</b>	<b>0</b>

Source: Field survey results in August and September, 2016

### 3.1.7. Health

102. According to the survey, 252 households interviewed (representing 80.8%) indicated that health services have been getting better over the recent years. But the 3 main reasons for poor health, in priority order, includes: (1) polluted water, (2) polluted areas, and (3) food insecurity. Common diseases in 8 project provinces are diarrhea, cold, fever, dengue fever, hand-foot-mouth disease, pinkeye, catching hundreds of people in project area every year. The main cause is still parasite, disease-borne insect growing in contaminated water, transmitting to humans through eating and daily activities.

103. Besides, there is no big difference in health indicators among rich and poor income groups and the different ethnic groups surveyed. The rate of medical insurance within the surveyed households is relatively high, with over 85.3% households taking out medical insurance. Notably, all minority households interviewed had health insurance.

### 3.1.8. Water supply

104. Water for washing and bathing: The majority of households in the project area surveyed have access to water for bathing and washing from deep water wells (78.85%). Access to other sources of water is low: 5.13% from ponds-streams; 5.77% from tap water, 4.17% from public water, 3.21% from other water sources and 5.77% from rain water. Unfortunately 94.56% of the water used for washing and bathing activities is considered unhygienic.

**Table 22: Water supply service of bathing, washing**

No	Province/City	Own water taps in the home	Public water taps	Wells	Rainwater tanks	Ponds and rivers	Other Sources
1	Quảng Ninh	2	0	30	0	0	0
2	Hải Phòng	5	4	24	1	0	0
3	Thanh Hóa	0	0	29	0	0	0
4	Nghệ An	2	2	28	12	0	0
5	Hà Tĩnh	1	0	33	3	0	0

6	Quảng Bình	0	0	46	0	0	1
7	Quảng Trị	2	0	46	2	0	0
8	Thừa Thiên Huế	6	7	10	0	16	9
<b>Total (households)</b>		<b>18</b>	<b>13</b>	<b>246</b>	<b>18</b>	<b>16</b>	<b>10</b>
<b>Percentage %</b>		<b>5.77</b>	<b>4.17</b>	<b>78.85</b>	<b>5.77</b>	<b>5.13</b>	<b>3.21</b>
<b>By ethnic groups</b>							
	Kinh (HHs)	17	13	229	17	16	10
	EM (HHs)	1	0	17	1	0	0

*Source: Field survey results in August and September, 2016*

105. Access to drinking water is more difficult and diverse. 56.4% respondents accessed drinking water from water wells, 30.1% from rain water, 5.8% from tap water, 2.6% from pond water streams, 4.5% from public water, and 3.5% from other sources of water. If the notion of relatively clean water in rural areas, so the sources are included: water, water wells / dug, the new storm water 92.3% of people in the project area is relatively ensure the water used for drinking. Thus, in the project areas surveyed, water used for drinking and domestic use has achieved the 2020 national targets for rural water supply and rural sanitation by 2020.

**Table 23: Water supply for drinking**

No	Province/City	Own water taps in the home	Public water taps	Wells	Rainwater tanks	Ponds and rivers	Other Sources
1	Quảng Ninh	2	0	15	15	0	0
2	Hải Phòng	4	4	13	13	0	0
3	Thanh Hóa	0	0	24	1	4	0
4	Nghe An	2	2	12	27	0	1
5	Hà Tĩnh	2	1	11	23	0	0
6	Quảng Bình	0	0	41	5	0	1
7	Quảng Trị	2	0	46	2	0	0
8	Thừa Thiên Huế	6	7	14	8	4	9
<b>Total</b>		<b>18</b>	<b>14</b>	<b>176</b>	<b>94</b>	<b>8</b>	<b>11</b>
<b>Percentage</b>		5.8	4.5	56.4	30.1	2.6	3.5
<b>By ethnic groups</b>							

No	Province/City	Own water taps in the home	Public water taps	Wells	Rainwater tanks	Ponds and rivers	Other Sources
	Kinh (HHs)	17	14	164	92	4	11
	EM (HHs)	1	0	12	3	3	0

*Source: Field survey results in August and September, 2016*

106. Similarly, the use of clean water for drinking by EM households has achieved high rates. Specifically, 16 EM households out of 19 households interviewed used clean water for cooking.

### **3.1.9. Sanitation**

107. From the survey data, 94.9% of the households use sanitary latrines, of which 58% of households have a toilet flush/semi-flush system, 25% of households use latrines with 2 compartment, and 11.9% of households use simple latrines (i.e. digging holes in the garden or bridging on lakes, rivers and streams), and 3.8% of households have no toilet. The local use of standard toilets (toilets flush/semi-flush toilets and two chambers) is 99.9% in Hai Phong province and 98.7% Thanh Hoa province, which is higher rates found in this survey. The provinces with a lower survey rate is Quang Ninh, Quang Binh, Quang Tri and Thua Thien Hue province whose respective use is 91.8%, 88.7%, 89.27% and 92.5% (Provincial Statistical Yearbook 2014). The provinces with the lowest use of toilets are Nghe An (41.91%) and Ha Tinh (66.1%) provinces.

**Table 24: Types of toilets (household)**

No	Province/City	No own toilet	The flush and semi-flush toilet	Two compartment toilet	Simple toilet (digging, one compartment)	Toilet on ponds, rivers	Other
1	Quảng Ninh	0	22	4	6	0	0
2	Hải Phòng	2	31	0	0	1	0
3	Thanh Hóa	3	11	12	0	3	0
4	Nghe An	3	18	12	8	0	3
5	Hà Tĩnh	2	16	15	0	4	0
6	Quảng Bình	0	14	32	1	0	0
7	Quảng Trị	2	33	2	12	1	0
8	Thừa Thiên Huế	0	36	1	10	0	1

No	Province/City	No own toilet	The flush and semi-flush toilet	Two compartment toilet	Simple toilet (digging, one compartment)	Toilet on ponds, rivers	Other
<b>Total</b>		12	181	78	37	9	4
<b>Percentage %</b>		3.8	58.0	25.0	11.9	2.9	1.3
<b>By ethnics</b>							
	Kinh group	9	176	75	34	5	3
	Ethnic Minority	3	5	3	3	4	1

*Source: Field survey results in August and September, 2016*

### **3.1.10. Some issues of livelihood and social security**

108. Loans: Taking out a loan frequently occurs and is a popular operation for local rural communities. The survey in the project area illustrates this. The majority of interviewed households currently have a debt, accounting for 71.5% of all respondents, in which Quang Tri province has the highest rate of borrowing with approximately 89% of all households taking out a loan. On the scale of the loan, 85.6% of households borrowed less than VND60 million. The reason for taking out the loan was mainly for children and grandchildren to attend school. Households generally do not take out bigger loans due to unstable production conditions and poor profit returns from agricultural production with a low ability to repay the loan capital and interest.

109. The Vietnam Bank for Social Policies is the biggest provider of funds to local households, accounting for 75% of funds borrowed. Next is the Vietnam Bank for Agriculture and Rural Development which provides about 20% of funds borrowed. The remaining 5% of funds borrowed by households is mainly from Credit funds managed by the local Women's Group and Farmer Association. Interest rates charged by the Vietnam Bank for Social Policies is the lowest at 0.65% to 0.8% over 1 month (depending on the borrower's socio-economic situation). Households usually borrow money over a 3-year period for investment in livestock (i.e. to purchase a cow, pig or goat) or to invest in a business enterprise.

110. Social Welfare: The survey results show that people rely heavily on the support from siblings, parents, children and authorities/organizations. The support from friends and neighbors is negligible, at only 1-2%.

111. The percentage of Kinh people responding that they had nobody to rely on was 4 times higher than those of other ethnic groups. Kinh people get the most support from siblings and close relatives. Other ethnic groups mainly get support from local authorities or organizations, but the material assistance for ethnic minority people is negligible. The community is generally less cohesive than Kinh people, they live fairly well dispersed and while close relatives are very important, generally their own low livelihood standards prevent



them from providing substantial support.

112. Most people interviewed intend to invest more in animal husbandry, farming, fishing and marine aquaculture (over 65%) followed by finding a new job, additional investment in trade and services, learning a new job, changing accommodation and changing jobs. Obviously the people surveyed are thinking about life and the future livelihood of their family. In the rural areas, additional investment in agricultural production is being considered but part of the population has a vocational trade or service and also intends to increase their incomes to help their families. Therefore, strengthening the capacity of the people in afforestation and the development of livelihoods 'under the forest canopy' is necessary for the people in project area.

### **3.2. Vulnerability of Groups**

113. The vulnerable households (poor households, woman-headed households with dependents, households with disabled residents, homeless residents, ethnic minorities, families under preferential treatment policies, families with non-working elderly, and residents with limited working capacity) have fewer possibilities to restore their living conditions, livelihoods, and income levels. Thus, in ensuring that the vulnerable will be adequately benefited from the project and/or to avoid adverse impacts for vulnerable groups during the project implementation, it is essential to encourage their participation in all project cycles, and at the same time, to conduct training workshops and establish income restoration program(s) which enable local communities, especially vulnerable group not only being adequately aware of basic project information, participate in the project preparation and implementation, so they could directly benefit from the project, but improving their livelihood and living condition.

### **3.3. Gender**

114. A gender note was prepared using survey and secondary data. This is annexed to this report.

### **3.4. Ethnic Minorities (EM)**

115. In the eight project provinces, most EMs reside in the inland mountainous districts/communes. According to the statistical data, within the project communes located in coastal areas, the proportion of EMs is minor, with approximately 22,088 persons (mostly Thai, Tay, and Dao peoples) representing 0.61% of the total population in the project area. Of these, EMs are mainly found in Quang Ninh and Thanh Hoa coastal districts. Quang Ninh covering Tien Yen, Van Don, Hai Ha and Mong Cai districts have approximately 21,685 EM people and Thanh Hoa covering Tinh Gia and Hoang Hoa districts have 186 EM people. Results from the SA show that EM communities living in communes along the coastal line of project provinces historically migrated from different regions and settled in the coastal communes since 1970-80s. They are bilingual (Vietnamese bilingual speakers mainly/their own languages) and maintain their own distinct cultural and social characteristics.

**Table 25: EM population present in Quang Ninh and Thanh Hoa, 2015(person)**

Province/district	Population
Quang Ninh	21,685

Tiên Yên	10,898
Vân Đồn	3,456
Hải Hà	5,193
Móng Cái	2,138
<b>Thanh Hóa</b>	<b>186</b>
Tĩnh Gia	126
Hoàng Hóa	60

*Source: Field survey results in August and September, 2016*

116. Profile of the EM group is summarized as follows:

- (i) In terms of the household size, the survey data indicates the size of EM households is larger than non EMs households with an average family is 3.79 people compared to 4.48 people in an EM household.
- (ii) In terms of occupation, agriculture, forestry or fishery production, non EMs is lower than those EM households. In contrast, the proportion of non EM households non-agricultural jobs is higher than EM households.
- (iii) In terms of education, the ethnic minority households have a higher rate of illiteracy compared to on EM households and the ratio children not attending school is also much higher; 76.5% versus 23.5% respectively per total children not attending school.

**Table 26: EM ratio children not attending school**

Province/City	School-age children not attending school	Percentage% of the total samples	Ethnics	
			Non EM	EMs
Children not attending school	17	5%	13	4

*Source: Field survey results in August and September, 2016*

- (iv) In terms of hygiene, the rate of the non EM households without standard toilets is lower than EM households (Table 23).
- (v) In terms of living standard, out of 19 ethnic minority households interviewed, 12 households 7 households are categorized as poor or near poor.

117. The percentage of EM household with 5 or more than 5 members is 45.1%, and higher non skilled labor. For example, according to assessment, the leaders of Dong Rui commune, Tien Yen district, Quang Ninh province, confirmed that in their communes there is EM household that register a member with an intermediate level of education or above. The screening process confirmed the presence of EMs in the project area and triggered the OP/PB 4.10, defining the need to prepare n EMPF to guide to prepared the EMDPs during the project implementation once the sub-projects are identified This EMPF's objective is to provide guidance as to how an EMDP for Quang Ninh and Thanh Hoa provinces should be prepared, to ensure that (a) affected EM peoples receive culturally appropriate social and economic benefits; and (b) when there are potential adverse effects on EM, the impact are identified,

avoided, minimized, mitigated, or compensated and (c) free, prior and informed and culturally appropriated consultations are carried out.

### 3.5. Forest and Forest Land Use Rights in Project Communes

#### 3.5.1. Status of forests in the project provinces

118. Across 257 communes in 47 districts, the total area of forestland is 235,009 ha, of which 161,102 ha is forested, accounting for 69% of the total area. The non-forested area and other specialized land totals 73,907 ha accounting for 31% of the total area. Within the project area 72,080 ha of forest land has been managed accounting for 31% of total forest land area in the 257 communes. Of the project forest 50,277 ha will be included in the project activities to enhance forest management and protection, and 11,803 ha of very-poor forest area will be included in the project activities for enrichment planting.

**Table 27: Status of forestland in three forest types in project communes**

Provinces	Area inside the three forest type planning				Other Areas	Total forestland area
	Total	SUF	Protection forest	Production forest		
Quang Ninh	91,768	3,187	32,065	56,516	2,539	94,307
Hai Phong	9,270	1,205	8,065		5	9,275
Thanh Hoa	4,167	135	2,093	1,939	542	4,709
Nghe An	13,108		7,452	5,655	2,026	15,133
Ha Tinh	30,312	8,019	14,588	7,705		30,312
Quang Binh	11,726		2,826	8,901	15,538	27,264
Quang Tri	14,852		10,280	4,572	2,263	17,116
T.T. Hue	31,584	5,447	11,803	14,334	5,309	36,893
<b>Total project communes</b>	<b>206,787</b>	<b>17,993</b>	<b>89,172</b>	<b>99,622</b>	<b>28,222</b>	<b>235,009</b>
<b>Total 8 prov.</b>	<b>3,912,774</b>	<b>645,245</b>	<b>1,191,544</b>	<b>2,075,985</b>	<b>200,963</b>	<b>4,113,737</b>

Source: Survey by experts from FIPI in 2016

#### 3.5.2. The forest land use rights in project communes

119. The forestland area of 72,080 ha will be included in the project activities of forest protection and development, of which the SUF (Special Use Forest) area is 134 ha; the protection forest area is 71,016 ha; the area which is not included in the three forest type planning is 929 ha. The, 98.7% of forestland area will be included in the project for protection forests and special-use forests. These forest types have been prioritized for management and establishment by the State budget (Decree 119/2016/ND-CP). This will increase the sustainability of the project.

**Table 28: Unit of forest management project**

No	Management group	Area (ha)	Percentage %
	<b>Total</b>	<b>72,080</b>	<b>100.00</b>
1	Board of Specialized Forest Management	134	0.6
2	Board of Protection Forest Management	28,783	39.7
3	Forestry enterprises	904	1.2
4	Private enterprises	274	0.40
5	Armed Units	218	0.30
6	Communes' people committee	36,199	50.00
7	Groups of households, communities	848	1.17
8	Households and individuals	4,318	6.00
9	Others youth volunteer teams or agricultural cooperatives	401	0.60

*Source: Survey by experts from FIPI in 2016*

120. In the project area, forests and coastal forests are mainly managed by Commune Peoples Committees (CPCs). It is through the CPCs that forest land is allocated to households, community groups or to staff from Father Front, Youth's Associations, Farmer's Associations, and Women's Union or to civil defense and communal security official. In total 72,080ha are being managed by public entities.

121. Among the management groups in charge of the 72, 080 hectares of forest land, 134 ha (0.6%) is managed by Specialized Forest Management Boards; 28,783 ha (39.7%) is managed by Board of Protection Forest Management; 904 ha (1.20%) is managed by forestry companies; 274 ha (0.4%) is managed by private enterprises; 218 ha (0.3%) is managed by the armed forces; 36,199 ha (50.0%) by the Communal People's Committees; 848 ha (1.2%) by households, or community groups; 4318 ha (6.00%) by households and individuals; and 401 ha (0.6%) is managed by other organizations (such as youth volunteer teams or agricultural cooperatives).

122. The PFMBs and CPCs are currently managing 89.7% of the total forest land proposed for the project. It is expected that these forest lands will be assigned or contracted to community groups at a later stage. This will enhance the participation of communities in the management, development and protection of coastal forests and contribute to the sustainability of the projects after the project ends.

**Table 29: Preliminary statistics of local households encroach in to forest protection areas**

No	Main activities	Expected area (ha)	No. of local household encroach	Expected land area to be covered in to agriculture by encroachment	Note
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No	Main activities	Expected area (ha)	No. of local household encroach	Expected land area to be covered in to agriculture by encroachment	Note
1	Protection of mangroves	15,784	0	0	In some areas, local people encroach in degraded or no-forest protected forest lands for agricultural cultivation
2	Protection of inland forests	31,400	0	0	
3	Rehabilitation of mangroves	6,532	0	0	
4	Rehabilitation of inland forests	6,894	135	27,000	
5	Plantation of mangroves	5,791	0	0	
6	Plantation of inland forests	4,246	101	20,200	
	<b>Total</b>	<b>70,647</b>	<b>236</b>	<b>47,200</b>	

*Source: Data provided by the project provinces and social survey*

123. Survey and consultation with local officers have shown that most of the residential and forest land of households and forest owners in the project area has been granted Land Use Right Certificates (red book), that land use planning at the commune level has been fully implemented and land has been demarcated clearly. Consultation at the district and commune level has shown that land disputes within the project area currently not common. Disputes generally occurred about 10 years ago when there was no clear planning and demarcation. However, based on results of consultation with local 10 districts and 16 communes who consulted during survey shown that 236 local households scattered encroachment in the degraded or no-forest areas of the protection forests to plant crops and vegetables.

124. Regarding the opinion of local districts and communities, during planning and implementation of the project forest planning, forest land allocation and contracting dossiers must be checked. The project should also conduct educational propaganda, organize training courses on forest management, implement livelihood support activities and improve the incomes of local communities and for project plantation and rehabilitation activities, these lands will be taken back with no compensation as these lands are on designated protection forest. But crops and vegetables should be compensated as per RAP.

### **3.6. Main Drivers of Forest Degradation and Deforestation**

125. Coastal forest ecosystems have particularly important roles. Adaptation based on the combined use of biodiversity and ecosystem services to the overall strategy of responding to the adverse impacts of climate change. However, over recent years the coastal forests in project area have been declined in both quantity and quality. The main drivers of forest degradation and deforestation are subjectively and objectively caused by:

- a. Deforestation due to both planned and unplanned conversion of forests into aquaculture. Coastal forests and forest land has not been allocated to local people/community for long-term management in association with agricultural and forestry production and livelihood development.

- b. Deforestation due to change of forest using purpose and lack of clear and long-term forest protection plan.
- c. Forest degradation result of unsustainable wood extraction and encroachment for agricultural farming.
- d. The forests degraded and declined since no appropriate and adequate management and protection has taken place.
- e. Limited investments, and difficult conditions of terrain, soil, climate and erosion in coastal areas.
- f. Natural deforestation and degradation resulting from the impacts of typhoons and forest fires.

126. The establishment of mangrove forest and coastal terrestrial forest requires huge investments and must implement on the area of coastal communes where site conditions are complex and difficult, and affected disaster factors such as storms, floods and tidal. It have shown that the participation of community in the project along with increasing awareness and improving life conditions is essential to get protection forest sustainable management in the project area. The involvement of local communities in the project areas along with the enhancement of livelihoods are necessary for the forest management in the project area.

127. Project's investments will be made in the provinces provided where provincial governments shall commit sustainable rehabilitation and protection of coastal forests" planning and the provincial management agencies (PPC, DARD, Department of Natural Resources and Environment) support and promote the long-term benefits for the local stakeholders. Most forest and forest lands are under the management of the CPCs and PFMBs without people/staff to promote the potential of forests economic development associated with environmental benefits. The project should focus on local people/community participation for long-term forest protection.

## **PART IV: PROJECT IMPLEMENTATION ARRANGEMENT**

### **4.1. Central Level**

128. Ministry of Agriculture and Rural Development (MARD) will be the primary executing agency for the project. MARD has been assigned by the government as the project owner and will be responsible for overall implementation, management, and coordination of the project. MARD has extensive experience in implementing IDA-financed projects since 1995. The Ministry has experience implementing various Bank-financed projects, along with those financed by other partners in the agriculture sector in general and in the forest sector in particular, including the Asian Development Bank, JICA, KfW, GiZ and other bilateral donors, and so is familiar with Bank procedures and policies. MARD will work in close collaboration with relevant Ministries and agencies to implement the project.

#### ***4.1.1. Central Project Steering Committee (PSC)***

129. Project implementation will be guided by a Project Steering Committee (PSC), consisting of, at the central level, representatives of key Ministries such as MARD (the PSC chair) and representatives from relevant departments under MARD; Office of Government (OOG), Ministry of Planning and Investment (MPI), Ministry of Finance (MOF), Ministry of Natural Resources and Environment (MONRE), Ministry of Justice (MOJ), State Bank of Vietnam (SBV), and leaders of the Provincial People's Committees (PPCs). The PSC has responsibility for mechanisms, policies, activity cooperation plans, making key decisions, monitoring, preliminary and final review meetings and the project adjustment meeting. The PSC helps the leader of MARD execute the project in accordance with the project objectives, the loan agreement signed between the GoV and the Donor.

#### ***4.1.2. Vietnam Forest Administration (VNForest)***

130. VNForest under MARD is the executing agency for Component 1. With its role of state management providing advices to the GoV and MARD in regard of policy issues on forest sector, VNForest takes well its position in implementing the coastal forest related policies and those relevant to the sector restructuring. VNForest has appointed staff participated in project preparation team and will ensure adequate resources for project implementation. VNForest will coordinate with CPMU and other technical departments and research institutes under MARD according to their mandates to implement the planned activities under Component 1.

#### ***4.1.3. Central Management Board for Forestry Projects (MBFP)***

131. MARD has assigned the Central Management Board for Forestry Projects (MBFP) to take responsibility for overall implementation and management of the project, and will be the project owner for activities to be executed at the central level, including technical assistance for the entire project; capacity building, procurement of goods and equipment for provinces; executing the activities involving more than one province and requiring complicated expertise. MBFP is responsible to coordinate with all stakeholders including donors, ministries and central agencies and provinces throughout the project implementation, supervision and monitoring the investment activities at provinces as mandated by public investment regulations. For these activities, MARD will use existing resources to establish a CPMU under the MBFP and create an advisory group comprising of agriculture, water,

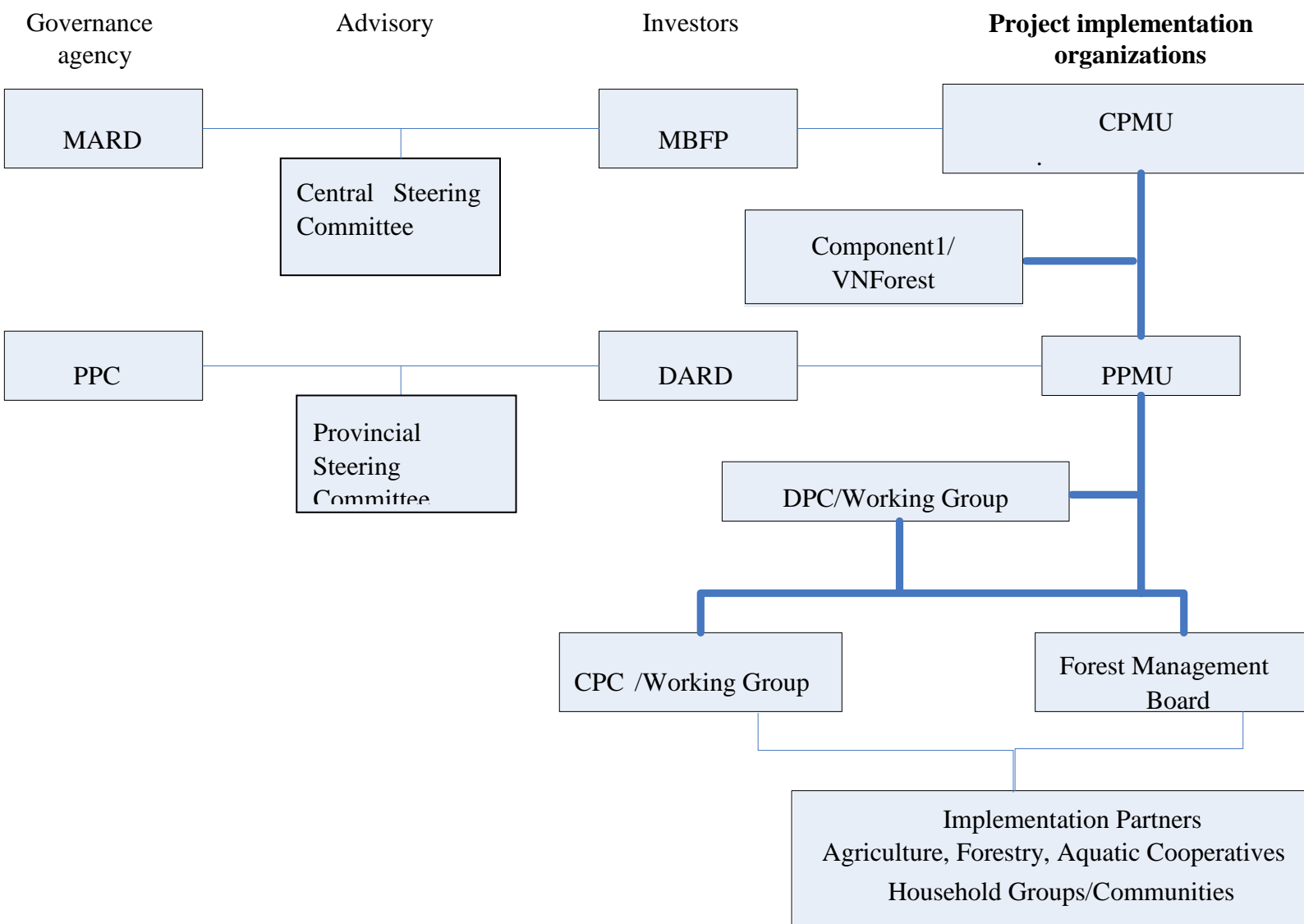
forestry, and aquaculture specialists from technical departments, and related research institutes (this last part is still under discussion).

#### ***4.1.4. The Central Project Management Unit (CPMU)***

132. The CPMU, assisted by the advisory group, takes responsibility to work with and assist the project provinces to implement the project in accordance with the project design. CPMU is responsible for the preliminary review and quality check of the provinces' procurement and work plans before they are submitted to the Bank. In addition, the CPMU will be responsible for the overall project level administration, including oversight of procurement, FM, M&E, safeguards compliance and communications.

133. Specific duties of CPMU include (i) preparation and development of the overall plan and the detailed annual plans of the whole project, (ii) project management, (iii) preparation of technical guidance and direction for the DARDs and PPMUs, (iv) finance and assets management of the project, (v) coordination with relevant authorities (MOF, MPI) and the World Bank, (vi) monitoring, assessment and reporting on the project implementation, and (vii) management and supervision of consulting services.





**Figure 8. Organisation structure for implementation of the FMCR Project**

## **4.2. Provincial Level**

### **4.2.1. Provincial People's Committee (PPC)**

134. The PPC is the provincial line agency with the following duties and responsibilities: (i) be responsible for managing the project in its province, directing and operating the relevant organizations in the project cooperation and implementation; (ii) approve or direct Specialized State Management Agencies under the PPC to approve reports on investment, cost estimates, payment, finalization and liquidation of works, or work items, and completed project in the province; and (iii) be responsible for allocate sufficient land and counterpart fund for the project implementation according to the approved project progress.

### **4.2.2. Provincial Project Steering Committee (PPSC)**

135. At each project province, a Provincial Project Steering Committee will be appointed comprising representatives of provincial Departments such as DPI, DOF, DONRE and District People's Committees who will be responsible for facilitating the coordination among the key stakeholders, providing guidance for project implementation in its respective province. A Vice Chairperson of the PPC will chair the PPSC. The PPSC has responsibility for orienting the mechanism, policy, activity cooperation plans in the province; deciding basis measures in the project implement; monitoring, organizing preliminary and final project review meetings, and considering the project adjustment in the province. Moreover, it helps the PPC operate project according to project objectives and the loan agreement signed between the representative of the GoV and the Donor.

### **4.2.3. Department of Agriculture and Rural Development (DARD)**

136. DARD is the project owner of the sub-project in the province. It has responsibility for guiding and directing the PPMUs, appraising and approving the designs, cost estimates and the activity contracts of the sub-project, monitoring and supervision of sub-project and management of project fund. The DARD cooperates with CPMU for inspecting and monitoring project implementation.

### **4.2.4. Provincial Project Management Unit (PPMU)**

137. PPMU is an organization under the project owner - DARD at the province, established by the PPC's Decision. In some provinces, Project Management Units were established and belonged to the DARD. The PPMU is a representative of the project owner at the province and it is responsible for implementing and managing activities of sub-projects.

138. Subprojects under Components 2 and 3 will be implemented by PPMUs in the respective provinces. The PPC will appoint an existing PPMU under DARD to be the implementing agency (IA). The PPMU will be in charge of day-to-day implementation activities including (a) consolidating the investment plan of the province; (b) preparation of detailed technical engineering design, safeguards mitigation documents, implementation, and Procurement Plan; (c) implementation of fiduciary (procurement and FM) and safeguards activities at the subproject level; (d) operation and maintenance of the project account; and, (e) M&E of subproject implementation. Each of the PPMUs will be fully staffed with qualified and experienced staff in all areas particularly on fiduciary and safeguards aspects.

139. With the high level of decentralization, most of the activities on procurement, FM and disbursement will be done by PPMUs with implementation activities being carried out at

district and commune levels. A District Support Group (TBC) will be created with members from district technical sections working on the part-time basis to assist the implementation at district level.

### **4.3. District and Commune Levels**

#### ***4.3.1. District People's Committee (DPC)***

140. DPC will act as advocates for field-level cooperation. It will be involved in the monitoring of project activities, dissemination of information and provide agricultural extension to local communities.

#### ***4.3.2. Division of Ethnic Minority Affairs***

141. The district's Division of Ethnic Minority Affairs is a specialized agency that has the mandate to help the DPC implement state management policies on ethnic minority affairs. The Division will support the implementation of ethnic policies at the district level.

#### ***4.3.3. Commune People's Committees and mass organizations***

142. At commune level, with the aim of the project being the establishment of coastal protection forests at project communes and improvement of local people's livelihoods, the role of local people and commune authorities is critical in project implementation as well as sustaining the results. Commune Forest Board (CFB) will be established at each of the project communes and will be tasked with signing contracts for forest plantation and protection with the household groups/communities (need to check legal basis for CFB to sign contract...) and supporting the livelihoods planning and implementation at commune. CFB members include selected staff the communes (TBC) and working on the part-time basis. The Commune People's Committees (CPCs) will be responsible to support commune level implementation of activities outlined in the social safeguards instruments and plans.

### **4.4. Community Organizations and Associations**

143. Political-social organizations as Fatherland Front, Women's Union, Farmer's Association, Youth's Association, Veteran's Association and Elders' Association at community level with widespread member network may play important role during project implementation with strong governance structures in each locality. These organizations can closely monitor project implementation, especially during land collection, land compensation and resettlement processes to ensure that all actions follow safety policies of the World Bank and Vietnamese law.

144. Farmer's Association engages in agriculture, encourage activities for farmers and ethnic minorities. Women's Union is considered as proactive organizations and play an important role in the economic development and environmental protection within the local areas. Women's Union is the core member of many programs, such as maintaining commune sanitation, supporting rural development activities, providing education on HIV prevention, preventing the trafficking of women and children and monitoring resettlement programs. Youth's Association engages in developments and implements of social programs for youth within the community. It is very proactive in many development activities as it can connect the youth at different levels, including high-risk or HIV/AIDS groups. The Youth's Association will promote activities to increase awareness of the project educate and communicate local youth on the benefits of the project as well as supporting young people

who face difficulties.

145. These organizations at community level understand local issues and can respond to local peoples' difficulties and feedbacks concerning the project preparation, implementation and supervision. Collaboration between these organizations and local residential groups in monitoring the project processes is an important aspect of the allocation of ODA by the Project Management Unit and contractors, who can then adjust the design of project activities to reduce any inconvenience to the local communities.

146. Residential groups will work directly with local residents and can reflect the issues raised during project preparation, construction and employment. Residential groups are the first stop in receiving people's comments about the project, as well as the last stop in providing information about the project to local people. The role of residential groups is very important in responding to the immediate desires and comments of the local communities during project development and implementation. In addition, comments from residential groups contribute to a more appropriate and functional socio-economic work program of the project.

147. Non-governmental organizations (NGOs) are usually experienced in implementing projects and conduct similar works in rural areas. Therefore, communication and the exchange of experiences with NGOs is necessary to improve project implementation.

#### **4.5. Community Involvement and Participation**

148. The coordination and involvement of community in the planning and implementation of the project has particularly important implications. Firstly, in the participation for the project design to contribute to meeting the technical requirements of the project, helping to increase the socio-economic efficiency of the project and reducing unwanted and negative impacts on the lives of local communities during project implementation. In the process of project implementation, good coordination between all parties will ensure that all stakeholders involvement and appropriation of the project.

#### **4.6. Assessment of Institutional Capacity**

149. MBFP/CPMU with the support of local consultants, have extensive experiences in the preparation and implementation of various investment projects. The CPMU established by the MBFP has an advisory mandate and implementation responsibility for social policy of projects implemented by the MBFP.

150. PPMU's capacity: According to data obtained from a survey for capacity assessment of project provinces for implementation of social and environmental safeguard plans (see details in Appendix 6), the following was highlighted:

- (i) Most forestation, forest biology and resulting livelihood projects are a small scale and therefore do not have to complete an environmental and social impact assessment under current regulations (according to the Environmental Protection Act, 2014). Results from the survey and consultation at the local level showed that all construction activities are small scale so expected social and environment impacts are marginal.
- (ii) The PPMUs have approximately 30% of their staff with no specialized skills or experience in environmental or social issues. Meanwhile 70% of PPMU staff skills are based on previous experiences participating in ADB, JICA or World Bank

projects. About 15% of staff hold environmental bachelor degrees, engineering, and the rest are gaining degrees in other sectors. In reality, however, most staff are assigned for multi-task activities enabling them to shifting roles and competences.

- (iii) Although six out of the eight project provinces have been involved in the implementation of World Bank safeguard policies and have participated in training programs on topics such as environmental safety, involuntary resettlement and gender and gender equality; their knowledge and experience is still limited and requires to be complemented, supported and monitored during the project implementation.

#### **4.7. Demand for Enhancing Capacity and Training for Stakeholders**

151. In the course of the FMCRP project, technical training and implementation support will be provided to support staff of the CPMU, and PPMU. In the first 3 years, the PMU and PPMU will organize at least 2 training workshops per year (environmental and social topics) for parties working, especially with ESIA, ESMP, ECOP, RPF, RAP, EMPF and EMDPs.

152. Technical training on safeguard and other related aspects, will also be carried out at least once per year. The training program will include but not be limited to the following:

- (i) The contents of the project RAP/RPF, EMDP/EMPF and ESMP/ESIA as well as the activities/sub-project and the preparation instruction, implementation and monitoring tools of the safeguard;
- (ii) Implementation of the RAP and EMDP, in which there is the application of the GRM to effectively address local complaints;
- (iii) Monitoring compliance of contractors, including the use of the appropriate forms and reporting procedures;
- (iv) Basic knowledge about health, safety and good practice in the implementation process to reduce the negative impacts on the environment and local communities, including communication methods, the use of the GRM and other social issues;
- (v) The importance of public consultation and the involvement of community and families in the screening process;
- (vi) National environmental policies, procedures and laws;
- (vii) The World Bank's policies; and
- (viii) Sustainable use of natural resources.

**Table 30. Training in the first phase of the project**

No.	Training Contents	Agencies
1	ESMF and social and environmental; EMDP/EMPF; RAP/RPF safety policies including ECOP	CPMU, PPMU
2	Environmental management capacity and the requirements of ECOP	PPMU and contractors
3	Social and environmental monitoring skills	PPMU, implementation consultants, environment consultants and local authorities
4	ECOP compliance and safety, environmental and health measures and preventing the spread of	Contractors

No.	Training Contents	Agencies
	diseases	
5	Sustainable use of natural resources	Local people and authorities

#### 4.8. Grievance Redress Mechanism

153. The project affected people have the right to complain about the issues relating to their rights and responsibility in the implementation of the project, there is no limit to issues such as: compensation policies, price unit, land acquisition and other policies related to supporting program to restore life. Such complaint mechanism must take into account the availability of judicial claim, the community, and traditional mechanism of conflict resolution. All complaints will be recognized, acknowledged and processed by the authorities at all levels.

154. Fatherland Front, Farmer's Association, Women's Union, etc., are mobilized to actively participate in the process of resolving complaints and inquiries. Affected people can report their complaints to the unit affiliated to the people's committees (PCs) at all levels. The responsible agencies must ensure to allocate competent staffs to work in the project and maintain the report system. The project ensure the effective explanation in case the affected people have difficulty in communicating in Vietnamese. The grievance will followed the 4-steps procedure:

**Step 1:** those who are not satisfied with any contents in the program of economic restoration and compensation can report in oral and written form to the CPC. The CPC will be responsible for resolving complaints within 30 days via checking, identifying and recommending the upper-level agency.

**Step 2:** if there is no agreement or mediation between the affected and the CPC or there is no answer in the due date, the affected people can appeal to the DPC. The DPC will make its decision within 30 days after receiving the complaint.

**Step 3:** if there is no agreement or mediation between the affected people and the DPC or no answer from the DPC in the due date, the affected people may submit to the responsible agencies of the PPC, the province will make its decision within 45 days after receiving the complaint.

**Step 4:** if the affected people are not satisfied with the decision of the CPC, they can submit their case to the People's court for resolution.

155. The affected people will be exempted from all the legal and administrative fees for the appeal. All their inquiries, proposal, complaints and resolutions should be recorded and transferred to a computer to easily keep track of every month. Decision on solving the complaints must be sent to the aggrieved APs and concerned parties and must be posted at the office of the CPC where the complaint is solved. After three days, the decision/result on solution is available at commune/ward level and after seven days at district level.

156. At the beginning of the project implementation, Grievance Redress Committees will be established from communal to provincial levels based on the existing structures consisting of concerned departments, mass organizations, women and ethnic representatives. At the communal level the community-based organization will incorporate the existing grievance mechanisms that will be chaired by leader of CPC. The grievance mechanism and procedures

will resolve complaints, and with the availability of local resources resolve conflicts not only on safeguard issues but also others during project implementation. Based on this structure, the community-based organization would assist during the project preparation, design, implementation, and future developments. The grievance mechanism will be applied to persons or groups that are directly or indirectly affected by a project, as well as those that may have interests in a project and/or have the ability to influence its outcome either positively or negatively.

## PART V: IMPACTS OF PROJECT

### 5.1. Expected Positive Impacts

157. Community consultation results from the eight project provinces and the EM consultation in the project area initially showed the benefits to local communities, including EM groups. Some of the expected positive impacts to the local people and EM groups are:

- (i) Planting and protecting coastal forests thereby contributing to the restructuring of forestry production in the region,
- (ii) Integrating of agro-forestry models to ensure food security under the pressure of population growth, unpredictable changes in the weather and the instability of the world in general, and
- (iii) Improving in the ecological environment as well as coastal fishing resources.

158. The potential positive impacts of the project to households living in the project area are presented in the following subsections according to the specific objectives of the project. The economic, social and environmental benefits of project components are described in the table below.

**Table 31. The potential benefits and measurable indicators of project efficiency**

Project component	Potential benefit of the project
Component 1: Enabling Effective Coastal Forest Management	The economic benefits: <ul style="list-style-type: none"> <li>• Income of forest owners is increased by forest certification;</li> <li>• Income from producing seedlings for reforestation activities;</li> <li>• Income from trading of long-rotation timber;</li> <li>• Income from forestry high-tech models</li> </ul>
	The environmental benefits: <ul style="list-style-type: none"> <li>• Increase carbon accumulation and absorption from long-rotation timber business</li> </ul>
	The social benefits: <ul style="list-style-type: none"> <li>• Capacity building on implementation of PFES and sustainable forest management for officials and residents.</li> </ul>
Component 2: Coastal forest Development and Rehabilitation	
Sub-component 2.1: Planting and Protecting target coastal forests	Benefit of economic: <ul style="list-style-type: none"> <li>• Income from reforestation, rehabilitation, regeneration and protection of coastal forest.</li> </ul>
	Environmental benefits: <ul style="list-style-type: none"> <li>• Increase carbon accumulation and absorption from coastal forest plantation, rehabilitation and protection (mangrove and terrestrial forests)</li> <li>• Reduce the risk from natural disasters through the coastal protection forest areas;</li> <li>• Reduce the degradation / erosion;</li> </ul>



Project component	Potential benefit of the project
Sub-component 2.2: Augmenting Survival of Coastal Forests	Economic benefits: <ul style="list-style-type: none"> <li>• Increase income for local people by improving infrastructure;</li> </ul>
	Environmental benefits: <ul style="list-style-type: none"> <li>• Reduce disaster risks by improving infrastructure.</li> </ul>
Component 3: Generating Sustainable Benefits from Coastal Forests	
Sub-component 3.1: Investment Packages for Generating Benefits from Coastal Forests	Social benefits: <ul style="list-style-type: none"> <li>• Strengthen the capacity and operation ability for local people and community organizations in contract management.</li> </ul> Economic benefits: <ul style="list-style-type: none"> <li>• Increase income by livelihood development activities through models.</li> </ul> Environmental benefits: <ul style="list-style-type: none"> <li>• Reduce the environmental pollution caused by ecological aquaculture in mangrove forests</li> </ul>
Sub-component 3.2: Demand Driven Productive Infrastructure	Economic Benefit <ul style="list-style-type: none"> <li>• Income from payment of ecosystem services.</li> </ul> Social benefits: <ul style="list-style-type: none"> <li>• Enhance the capacity of cooperatives and establish cooperative alliances to support rural economic development of coastal areas.</li> </ul>
Component 4: Project management, monitoring and evaluation	Social benefits: <ul style="list-style-type: none"> <li>• Capacity building for staff at all levels and people in the project areas;</li> </ul>
	<ul style="list-style-type: none"> <li>• Promoting good forest management in coastal areas.</li> </ul>

### ***5.1.1. Positive impacts on the economy***

159. Once the project is completed and put into operation, economic and social benefits will include:

- (i) Converting the agricultural economic structures and changing the livelihoods of local people toward greater aquaculture enterprises such as cultivation of clams, oysters and prawns, increasing farming productivity and providing resources for sustainable seafood production with higher economic value.
- (ii) Developing new modalities of sustainable livelihoods with positive impacts to the environment through such endeavors as ecotourism or green economic development.
- (iii) Promoting ecotourism activities that may provide more stable incomes for local people.
- (iv) Sustaining the mangrove ecosystem that has traditionally long been exploited for building materials, charcoal, firewood, food, honey and herbs. This, in the long term, should stabilize and increase local incomes thus improving the household economy.

- (v) Allocating forest management responsibilities to local communities and funding for households to manage and protect these forests, thereby increasing incomes for local households.
- (vi) Upgrading and repairing small-scale rural infrastructures to have favorable conditions and good performance for forest protection, agriculture production, income improvement, local labor attraction, and other impacts, to fulfil the goal of building new countryside. Since this project works on a small-scale infrastructures such as watchtowers, silviculture roads, etc., less negative impacts to the social life of local people will be generated.
- (vii) The sub-project to upgrade and repair inter-commune roads will help local people, especially women, save travelling time, mobility and access to markets.
- (viii) The sub-project of upgrading and repairing the dyke system is a stepping stone to consolidate and develop solutions to prevent and mitigate flood disasters that supported for coastal forest development.

160. The survey and public consultations also showed the efficiency in allocating forests to rural communities. In many places forests are well protected and developed with almost no forest being cut down with forest quality improving. People's awareness of the benefits of community forest also changes thereby making forest protection and management easier. Erosion and mountainous landslides are also prevented increasing food security as well as water for manufacturing and ecotourism activities in the lowland towns.

#### **5.1.2. Positive impacts on environment**

- (i) Increase carbon accumulation and absorption from coastal forest plantation, rehabilitation and protection (mangrove and terrestrial forests).
- (ii) Reduce the risk from natural disasters through the coastal protection forest areas.
- (iii) Reduce the degradation / erosion.

#### **5.1.3. Positive impacts on vulnerable groups**

##### *a. Ethnic Minorities*

161. Based on results from the field survey, EM households living in the areas (including affected communities and the beneficiaries) will expect that:

- (i) Planting and protecting coastal forests contribute to the restructuring of forestry production; integrating developed agro-forestry models can ensure food security under pressures of population growth and climate change. Such actions also improve ecological environment and related livelihoods.
- (ii) The potential positive impacts of the project bring benefits to households living in the project area.

##### *(iii) b. Gender*

162. According the analysis of in-depth interviews, women are likely to join reforestation/afforestation and forest protection activities thereby increasing their opportunities to participate in social activities as well as increasing their income. This increase in income can be used later for other productive investments or for the education of their children. Therefore, it will reduce the pressure on women enhancing women inclusion and participation on family and community decision making.

##### *c. Other groups*

163. The project will be properly recognizing poor households, paying attention to the most vulnerable groups to ensure that their welfare is most interested in the project; strengthening social activities to facilitate these groups to participate in the planning, design and implementation of subprojects, ensuring the optimal benefits they get from the project in current conditions and reducing adverse effects on them.

## **5.2. Potential Negative Impacts**

### ***5.2.1. Potential negative impacts due to land acquisition***

#### ***a. Loss of land***

164. The FMCR project is expected to (1) allocate 47,184 ha of coastal protection forests to communities and household groups and establish and rehabilitate 23,462 ha of mangrove and sandy soil forests across the project provinces and (2) support for upgrade, repair, renovate coastal infrastructure to enhance the effectiveness of coastal forests, strengthening resilience of coastal areas. The potential negative impacts due to land acquisition envisaged are as follows:

- (i) Land acquisition agriculture encroached land: survey and consultations identified that there is currently no household living illegally in the coastal protection forest areas, including the areas where the project is expected to implement forest protection and establish new plantations. However, the consultations with local officers of 10 districts and 16 communes, confirmed that there are about 236 households encroached in the degraded forest for agricultural production, scattered and with small-pieces of land (average about 200 m<sup>2</sup> per household).
- (ii) Land acquisition for repairing and upgrading of small-scale infrastructure works (rehabilitating and upgrading roads and dikes, dredging canals, creeks, repair culverts under dike). In the process of detail planning, consultation with local people will define measures to minimize the negative impacts caused by the land acquisition. The Resettlement Action Plan will be developed to ensure all losses of the affected persons will be compensated satisfactorily.

#### ***b. Loss of trees and crops***

165. Due to the land acquisition, there will be loss of trees and crops of the local people. The loss of trees and crops will be compensated to minimize the impacts of land acquisition pursuant to resettlement action plan (RAP).

#### ***c. Loss of livelihoods***

166. Other than land lost, local households could lose their livelihoods and reduce incomes, especially in 6 provinces Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri and Thua Thien Hue where soil had been heavily degraded during the wartime, much more investment would be required if forest is replaced by other agriculture plants. The component 3 of project was designed to support for those people. Most interviewed people desired to be satisfactorily compensated and given assistances in vocational training, and expressed their readiness to participate in skills training courses.

#### ***d. Relocation of graves***

167. The survey showed that there are some graves scattered, located in forests. The technical design will take into account to minimize the impact of moving the graves.

However, in cases where these impacts are unavoidable, household and individual who own the graves will be arranged land and excavation, relocation, reburial and other related costs which are necessary to satisfy customary requirements.

*e. Loss of business activities*

168. Households living along the rural road who might effect by repairing and upgrading of infrastructure activities. According to the survey results, some households living along the rural roads having many households doing small business or trading the eating, drinking services. The dust pollution will impact to the business and services activities due to the customers' psychology of choosing a cleaner eating and drinking places instead of the dirty places with heavy dust, leading to increasing the number of customers.

***5.2.2. Negative impact on local people's access to forest resources by the protection and management activities***

169. During the public consultation it was confirmed forest encroachers working on agriculture regularly collect forest products. Measures were identified during the community consultations and will be further discussed and decided upon during meetings with the PFMBs and/or CPCs with the broader community.

170. The project's participatory process will focus on developing an action plan to identify the numbers of PAPs, the type of impact and their eligibility to participate in alternative livelihoods activities or be compensated. Drafted action plans will be discussed at public meetings with the affected communities, so that informed decisions could be made about the options available to them. Mitigating strategies will be based on the promotion of alternative livelihood initiatives, capacity building of self-help organizations and community based tourism.

***5.2.2. Negative impact on local people's health by construction of infrastructures***

171. During upgrading, repair, renovate coastal infrastructure works will arise negative effects on local people's health during the project implementation. Such activities like material transportation and equipment operations will generate temporary impacts on the surrounding environmental quality such as air, water and soil. All these factors could affect directly population around the project area. The effects lead to increase occupational accidents, traffic accidents, diseases related to respiratory and intestinal system and eyes. The environmental and social management framework and the public health action plan conducted along with SA report indicate the measures to minimize and prevent those potential health related impacts.

172. As the OP/BP 4.12 is triggered, all the instruments to be prepared by the project will be guided by the RPF and Process Framework (PF) and be consistent with the local norms in order to avoid, mitigate, compensate any negative impact and ensure the compliance with the OP 4.12 and defined/pertinent norms.

***5.2.3. Impact on community health and environment due to use of pesticides***

173. Involving with pesticides used for forestry or forest nursery, or for related sites where applicable to control of weeds and insect pests for plantations. Although, pesticides are often considered a quick, easy, and inexpensive solution. However, pesticide use comes at a significant cost. Pesticides have contaminated almost every part of our health and

environment. Firstly, the high risk groups exposed to pesticides include production workers, formulators, sprayers, mixers, loaders and forestry farm workers. Secondly, pesticide residues are found in soil and air, and in surface and ground water across the areas and contribute to the problem.

174. The best practice to reduce pesticide contamination (and the harm it causes) in health and environment is for all of us to do our part to use safer, non-chemical pest control (including weed control) methods and those pesticides should be registered for forestry and related sites may be submitted as required by World Bank and Ministry of Health.

### **5.3. Other Potential Risks**

#### ***5.3.1. Impact and social issues***

175. Many surveyed people expressed their concern that outside workers influx for construction of civil works could affect the social order at the localities, causing social unrest. During construction phase, high concentration of workers can lead to social disruption, increase conflicts between workers and local residents due to the difference in income, employment, behavior, and others. In addition, there is a risk that workers will fall into the trap of social evils. However, the influence of social disturbance will not be significant in project provinces because the short period of time for construction and not huge number of worker influx. The surveyed people hope that the project will be implemented with a good management system, thus project workers be managed well to ensure that no conflicts occurred.

176. HIV/AIDS and other overlapped infectious diseases through sexual behavior. Project impacts will have increasing of HIV/AIDS infected risks, especially for women who are very vulnerable. The increase of HIV/AIDS and sexually transmitted infection, particularly through prostitution is often the risks associated with large scale construction projects. These effects become more serious when the project has a large number of workers travel to and temporary residence in the project area. In the case of this proposed construction project, it is expected the majority of construction workers come from adjacent rural areas and there is not the need for a large numbers of workers camps. These include risks associated with human trading and drug using. The project will survive and monitor to ensure that health and social disruption does not occur and will have an alert system for an early response to address such potential problems. The contractors will be required to submit the action plan to ensure the least disruption possible.

177. The project will prepare a Plan that will be closely monitored and supervised by the Bank detailing all the supervision measures and reports required to be sent to Bank on quarterly basis.

#### ***5.2.5. Temporary impact on economic activities of the project area***

178. The construction activities in general related to the project implementation process are also capable of disrupting economic activities in the project area. Especially construction of roads, canals, disrupted production activities in the project area by:

- (i) Require traffic through other routes or reducing the number of lanes that can be used;
- (ii) Limiting trading activities of stores, restaurants and other businesses along the route due to land acquisition;

- (iii) Obstructing external resources incoming in the project area;
- (iv) Construction phase can have many indirect negative impacts to the economic activity of the region related to the direct effects mentioned above.

## PART VI: MITIGATION MEASURES

179. The positive impacts of the project are major and prominent while the negative impacts are minor and can be overcome with the compliance with policy frameworks, regulations, guidelines, project plans, donors, and the Government. In addition, to minimize the risk related to the negative effects that may arise from the project's implementation and to establish good communication channels, the local community has been consulted during project preparation. Frequent consultations with local authorities have been carried out in order to minimize possible negative effects and to establish communication channels during the project planning stage. The CPMU will be in charge of coordinating with local authorities to communicate widely within the communities on the project objectives and policies so that the community understands the purpose and activities of the project.

180. Where compensation is to be paid for the losses of lands and assets by temporary or permanent acquisition of land, specific projects documents guiding the implementation of the inventory and payment based on replacement rates is outlined in the main project Resettlement Policy Framework approved. Besides, the policies related regulations on compensation, support and resettlement must be strictly complied. They include the laws and the regulations of Vietnam. Moreover, it is necessary to consider policies, issues, gender and other vulnerable groups. At the same time, the policies also require information dissemination for the affected people, and assessment and supervision of compensation and resettlement implementation.

181. Adverse effects and health related risks must be well controlled for the community during the project implementation. Both proactive prevention of diseases arising during the project implementation, and timely response to the outbreak of epidemics will be required at the same time. Dissemination and health education must be promoted to the people, and local authorities about the risk of potential diseases arising during the project implementation.

182. Besides, for any development subproject, the involvement of the community in planning, implementation and monitoring is a key factor to a success outcome and to ensure the sustainability of the project. According to the survey results, 100% of households interviewed desired to provide their support and wished to see the project deployed as earliest as possible. This was especially similar in the four 4 provinces that have been impacted by environmental disasters (Ha Tinh, Quang Binh, Quang Tri and Thua Thien Hue provinces). In these provinces, the local communities demands the project support them to gradually move toward a more integrated enterprise model covering agriculture, forestry and fishing and not solely dependent on fishing anymore.

**Table 32. The potential negative impacts and mitigation measures**

Project Activities	Impact Description	Mitigation Measures	Action Plan
<b>1. Land acquisition</b>			
<i>Land Acquisition</i> from local people encroach in the degraded or no-forest areas. In Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri and Thua Thien Hue few protection forest lands being converted into agricultural land.	<ol style="list-style-type: none"> <li>1. Loss of land</li> <li>2. Loss of trees and crops</li> <li>3. Loss of livelihoods</li> </ol>	<ol style="list-style-type: none"> <li>1. No compensation as these lands are on designated protection forest.</li> <li>2. The trees and crops will be compensated.</li> <li>3. Component 3 of project should be supported for encroachers</li> </ol>	<ul style="list-style-type: none"> <li>• Potential adverse social impacts due to acquisition of land and other assets will trigger World Bank's OP 4.12.</li> <li>• In compliance with the provision of the policy, the project will require preparation of RPF, PF and RAPs for each of the subprojects to address impacts caused by land acquisition.</li> </ul>
<i>Land Acquisition</i> for civil works may require the land acquisition of agricultural land and gardens of households (anticipated to be small area and marginal)	<ol style="list-style-type: none"> <li>1. Loss of land</li> <li>2. Loss of trees and crops</li> <li>3. Loss of livelihoods</li> <li>4. Loss of income affecting small business activities such as eating shop, drinking shop, other services, etc.</li> </ol>	<ol style="list-style-type: none"> <li>1. Loss of land: Compensation to be paid. Design consultant should consult with the publics to find the measures to mitigate and minimize the negative impacts caused by the land acquisition.</li> <li>2. Loss of trees and crops will be compensated.</li> <li>3. Loss of livelihoods: Component 3 of project should be supported. If this action involve with vulnerable group should consultation with ethnic minority peoples present in the project areas based on EMPF/EMDP, women-headed households will be provided new opportunities for women</li> </ol>	<ul style="list-style-type: none"> <li>• Potential adverse social impacts due to acquisition of land and other assets will trigger World Bank's OP 4.12.</li> <li>• In compliance with the provision of the policy, the project will require preparation of RPF and RAPs for each of the subprojects to address impacts caused by land acquisition.</li> <li>• Potential impact on environment will be minimized in Environmental social management framework (ESMF/ESMP) Environmental social management plan.</li> <li>• When there are potential adverse effects on</li> </ul>



Project Activities	Impact Description	Mitigation Measures	Action Plan
		to increase income, but without the increased burden on their lives. That are included in Gender action plan.  4. Loss of local small business: Component 3 of project should be supported for local's small business. Mitigation measures to reduce heavy dust will be proposed in ESMF	EM, the impact are identified, avoided, minimized, mitigated, or compensated for in EMPF/EMDP  • Potential impact on women-headed households will be minimized in GAP.
<b>Land Acquisition:</b> Remove of scattered graves in the poor forest area or no-forest locations	Relocation of graves	The technical plans are carefully studied in order to minimize the impact to move the graves. However, in cases where these impacts are unavoidable, households and individuals have to move the graves will be arranged land and excavation, relocation, reburial and other related costs which are necessary to satisfy customary requirements.	In compliance with the provision of the policy, the project will require preparation of RPF and RAPs for each of the subprojects to address impacts caused by land acquisition. In addition, a Process Framework (PF) to address potential impact due to restrict access to legally designated parks or protected areas
<b>2. Construction activities</b>			
Negative impact on local people's health during construction	1. Material transportation and equipment operations will generate impacts on the surroundings quality: air, water and soil environment  2. Increase occupational accidents, traffic accidents, diseases related to. Health	Although subproject have had measures to limit pollution such as dust, emissions, wastewater and epidemics, but there are potential impacts that we do not see immediately, so need to take measures for early detection of disease and sources of disease. The environmental and social management frame and The public health plan	• Social and environmental impacts caused in the sub-project implementation and mentioned in the negative impacts of the project have been identified, evaluated and recommended measures to minimize the negative impact of the Report on environmental impact assessment of the sub-project. Accordingly, during the entire

Project Activities	Impact Description	Mitigation Measures	Action Plan
	impacts such as Respiratory and intestinal system and eyes.	has conducted along with SA report to indicate the measures to minimize and prevent those impacts.	<p>process of sub-project activities, the employer has committed: Strictly comply with regulations of Vietnam Environment Protection Law as well as the Policy of World Bank in environmental safety.</p> <ul style="list-style-type: none"> <li>• Implementing the environment protection measures, minimize environmental impact mentioned in Chapter 4 and implement Environment Management, Monitoring Program for the project mentioned in Chapter 5 of this Report, implement the commitments with the communities as mentioned in Chapter 6. The employer also commits to compensate and overcome the environmental pollution when environmental incidents, risks happen during them project implementation, to recover the environment according to the regulations of environmental protection law when the project operation finishes</li> <li>• The environmental and social management Frame and the public health plan to control or minimize disease and prevent sources of disease.</li> </ul>
<b>3. Coastal forest development and rehabilitation activities</b>			

Project Activities	Impact Description	Mitigation Measures	Action Plan
Impact on local people's health and environment due to use pesticides	Pesticides used for forestry or forest nursery, or for related plantation and rehabilitation activities	<p>Pesticides have contaminated almost every part of our health and environment.</p> <ul style="list-style-type: none"> <li>Exposed to pesticides on production workers, formulators, sprayers, mixers, loaders and forestry farm workers.</li> <li>Pesticide residues are found in soil and air, and in surface and ground water across the areas and contribute to the problem.</li> </ul>	<ul style="list-style-type: none"> <li>Pesticides which used for plantation and rehabilitation forest should be registered for forestry and related sites may be submitted as require of WB and Ministry of Health in Viet Nam.</li> </ul>
Negative impact on vulnerable groups	During implementation of the project, vulnerable groups may be effected by project activities	<p>Training programs on household economy development will be carried out through the effective loans programs. The project supports participants in the training on capital loans for household economic development via capital turnover with low interest rate of the Bank for Social Policies.</p>	<ul style="list-style-type: none"> <li>A gender action plan is required to facilitate the maximum involvement of women, and provide new opportunities for women to increase income, but without the increased burden on their lives, contributing to women improved role and status in the project area In order to ensure the participation of affected communities, families, local governments and organizations in information dissemination on projects, advice on the choice of technical solutions, forecasted impact on land, income, land based property, and etc.</li> <li>When there are potential adverse effects on EM, the impact are identified, avoided, minimized, mitigated, or compensated for</li> </ul>

Project Activities	Impact Description	Mitigation Measures	Action Plan
			in EMPF/EMDP
<b>4. Impact on social issues</b>			
Issues arising social evils	Immigrant workers during the construction phase can lead to social disruption, increased conflicts between immigrant workers and local population due to the difference in income, employment, behavior, etc. Thus, labor influx will fall into the trap of social evils.	Good control the unprofitable effects and the risk to community; Prevent proactively diseases arising in the construction phase. While effectively responding to the epidemic cases arise. Strengthen communication and health education to the people, the local authorities about the risk of disease potential arising in the course of subproject construction	<ul style="list-style-type: none"> <li>A good management system, thus project workers be managed well to ensure that no conflict between the project workers and the residents in the project area will be executed by the contractors, and supervised by the CPMU</li> </ul>
HIV/AIDS and other overlapped infectious diseases through sexual behavior	The increase of HIV/AIDS and sexually transmitted infection, particularly through prostitution is often the risks associated with large scale construction projects. These effects become more serious when the project has a large number of construction workers travel to and temporary residence in the project area	<ul style="list-style-type: none"> <li>Training programs are aimed at raising awareness about HIV/AIDS, and other sexually transmitted diseases caused by construction workers, especially among women, girls, and ethnic minority groups</li> </ul>	<ul style="list-style-type: none"> <li>It is necessary to develop community-based supervision mechanisms to address safety and security related issues for the community. Community-based supervision groups can effectively handle these risks.</li> </ul> <p>A gender action plan is required to conduct that included the program on HIV/AIDS preventing.</p>

## PART VII. CONCLUSIONS AND RECOMMENDATIONS

### 7.1. Conclusion

183. The FMCR project will provide both immediate and long term benefits for the local people and communities in the project's Northeastern provinces (Quang Ninh, Hai Phong) and six north central provinces (Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri, Thua Thien Hue) of Vietnam. Specifically, the FMCR project is one important factor in the on-going development of the forestry sector and particularly in protecting coastal forests of the eight project provinces, including the four provinces currently experiencing difficulties as a result of the Formosa incident. With specific social policies and support mechanisms, the project will aim to gradually improve employment opportunities, local livelihoods and upgrade local infrastructure contributing to the successful reduction in poverty, occupational restructuring, development of ethnic minority economic and social opportunities and local forestry development to help respond to a changing climate.

184. The secondary data, interviews and group discussions with FMCR stakeholders, the social evaluation has provided a multi-dimensional assessment of vulnerable stakeholders, concluding that the FMCR project's key target beneficiaries are coastal people in disaster-prone areas. The study has shown that the most vulnerable are the poor, local EM households and women. This allowed the disadvantaged and vulnerable groups to be identified and for their different financial and social status and accessibility to specific resource assisting in their livelihood development to be highlighted.

185. The data of survey shows that in the implementation process of the project, negative social impacts forecasted as a summary are as follows:

- (i) For Land acquisition: no negative affect on cultural and historical buildings are expected,
- (ii) For construction work: these effects are due to temporary land use during construction and can be minimized through strict compliance with construction and society management procedures.
- (iii) World Bank, 4.12 is triggered:
  - A Resettlement Policy Framework RPF, prepared guides land acquisition and serve a basis for preparation of the resettlement plan (RAP) before the project implementation. In the implementation phase of the project, independent monitoring organizations/individuals are required for RAP implementation. The RPF guides on compensation, support and resettlement policies; to properly implement social safeguard measures and prepared the RAPs.
  - World Bank OP 4. 10 is triggered. An Ethnic Minorities Planning Framework conducted to ensure that the project implementation process fully respects the dignity, human rights, economies and culture of EM peoples affected by the project, and that they receive benefits in line with their cultural and socio-economic conditions. In the implementation phase of the project, independent monitoring organizations/individuals are required for an Ethnic Minorities Development Plans (EMDPs) for Quang Ninh and Thanh Hoa provinces will be prepared according to the policies of the World Bank. This will ensure that there

are policies and methods to minimize or remove the negative impacts from project activities on ethnic minority groups by respecting the customs of ethnic minority groups. As the project is designed, the EMDP will be developed after the first year of project implementation. (The contents of the EMDP will be follow the EMPF which has already been prepared).

## **7.2. Recommendation**

186. The main negative social impacts related to the project includeland acquisition, using of pesticides and construction works may causes negative impacts likes loss of land, loss of livelihoods; impacts on vulnerable groups; and impacts on safety and health,... These impacts will be mitigated through a number of instruments frameworks and plans prepared for the Project:

- (i) Resettlement Policy Framework/ Resettlement Action Plan/ Process Framework
- (ii) Ethnic Minority Policy Framework/ Ethnic Minority Development Plan
- (iii) Gender Action and Monitoring Plan
- (iv) Community Health Action Plan
- (v) Stakeholder Participation Plan

187. The CPMU will be in charge of the preparation and implementation of these plans and will ensure appropriate implementation in order to minimize negative impact to livelihood of local people, propose CPMU to develop micro finance programme, forest extension, livelihood services and training course on business development skills for affected households.

188. This SA will be updated during detailed design to take into account the possible changes and for each subproject

## ANNEX 1. GENDER NOTE INCLUDING ACTION PLAN

This Gender Note provides a summary of findings from the project's social assessment in relation to gender. It broadens these findings in order to fully reflect the World Bank's updated strategy for gender equality, poverty reduction and inclusive growth (2016-2023). Lessons learnt from other projects are taken into account. This leads to propose improvements for the project's design and its M&E framework in order to fully incorporate gender aspects. Documents available on the internet are provided in an annex as further information sources.

**Consistent with the World Bank's up-to-date gender strategy**, there are two reasons for taking into account the gap between men and women within the project's scope of intervention. First, failure to pay attention to this gap might result in widening them. There might be unequal access for women to project activities. Second, there are opportunities in any large project to address an existing gap and, where relevant, to reduce it. Reducing the gender gap may be beneficial for project implementation.

### **Box 1. The World Bank's global Gender Strategy (2016-2023): 4 strategic objectives**

1. Improving human endowments
2. Removing constraints for more and better jobs
3. Removing barriers to women's ownership and control of assets
4. Enhancing women's voice and agency and engaging men and boys.

### **A1 2. Gaps between Male and Female in the Context of the Project**

The gap between men and women in the project area and in relation to project activities is still substantial in terms of access to economic opportunities and of decision-making in natural resource management. This difference is not easy to perceive in a context where women actively participate in agricultural work and in community meetings, and where younger women have a fair educational level.

#### **A1 2.1. Relevant Aspects of the Project and Its Context in the Gender Gap Analysis**

**The project development objective is to improve coastal forest management in the selected provinces.** It will contribute to Government of Vietnam's (GoV) broader objective of enhancing coastal resilience to climate change (especially storms and flooding). Seven of the eight coastal provinces where the project will take place (other than Haiphong which is a more developed industrial province) are home to one third to one fourth of the national bottom 40 percent of population in terms of income level.

**Project activities include** (1) under component 1, spatial planning of coastal zones, small scale nurseries managed by local households, and piloting of payments for forest ecosystem services (PFES), possibly with a focus on the aquaculture and tourism sectors; (2) under component 2, protecting existing stands of coastal forests and planting and tending new stands under contracts with local community groups; (3) under component 3, through competitive grants open to organized groups of households entering long-term partnerships with commercial partners in the value chain, developing extensive aquaculture, climate-smart intensive aquaculture, and extensive livestock (e.g. pig) production, or other activities that

draw at present on the coastal forests or impact them; minor upgrading of rural roads and support to training centers, piers and other productive infrastructure.

**There is a gender dimension in all proposed project activities.** Women may or may not have access to activities targeting groups of households, and while some of these activities are conducive to narrowing the gender gap (e.g. small entrepreneurship), others might have the reverse effect.

**Most activities will be implemented through communes and groups of households.** How community contracts in the forestry sector, community-enterprise partnerships, and district and commune infrastructure will be designed and implemented will have consequences for women in these communities.

**The project is a multisector project under the management of the forestry sector.** Project activities relate not only to forestry but also to aquaculture, livestock industry, tourism and carbon finance. Participation of women in the project will be influenced by current trends and interactions between stakeholders in these sectors.

**The project will influence how disaster risk reduction is implemented, with strong implications for women.** The project will affect the way communities address natural disaster events and adapt to climate change. In this process, vulnerable women might be disproportionately affected.

## **A1 2.2. Social Assessment Process and Results**

The social assessment provides an analysis based on field work in the coastal communities that will be targeted under the project. Women have been fully incorporated in this analysis: they account for 49 percent of respondents out of 325 in the household survey. Focus group discussions took place with groups of both men and women, and single women were specifically invited to participate.

### **Women in Project Targeted Communities**

Project implementation will take place in an environment with a marked generational difference. Educational levels in the project area are overall relatively high. The percentage of women working as civil servants is quite high. Most of them graduated from college and universities.

However literacy in the coastal rural communes is only moderate compared to better-off areas. Middle-aged women have had less access to formal education. Women make up a large proportion of the labor force in agriculture and aquaculture, which are the two main local income sources for households.

Compared with the past, the role of women in family decisions and in agricultural production decision-making has increased. With support from the Women's Union, women's participation in community meetings is increasing as observed during the social assessment. However an analysis of gender roles shows that women are not responsible for larger decisions in both economic and political areas. Positions as Chairman and Vice Chairman in the People's Committees are taken by men. Female civil servants may hold minor positions when they only work part time. Information on the status of women in State forest farms is lacking but it may be similar.



As a result, individual incomes were found to be generally lower for women than for men. Women also have heavy workloads in both agricultural work and housekeeping chores. Women spend approximately 9 to 11 hours/day on productive activities, compared with only 7 to 8 hours/day for men.

Within the project area, marked differences are expected between more and less developed provinces and communities. The use of sanitary latrines, 99.9% in Hai Phong Province and only 41.9% in Ha Tinh Province, is an indicator of these differences. Coastal communes close to urban centers are also likely to differ from more isolated rural communes.

Interviews in most communes have highlighted the special difficulties that many single or divorced women (with dependents, or widows) are facing. These female-headed households are likely to have less labor force while land in many localities is allocated based on available household labor.

### **Women in Forestry, Aquaculture and Agriculture**

Women in the project area have predominantly access to unskilled job opportunities, e.g. in aquaculture, or are self-employed in small-scale agriculture. In communities with mangrove forests, poorer households and women among them have a nomadic life on lagoons and rivers, facing many difficulties. It is usually women who harvest aquatic resources or non-timber forest products for their living. In coastal villages, harvesting on-shore aquatic resources is an important activity for women, while men usually go for off-shore fishing.

Plantation of mangroves and inland coastal forests is mainly women's task at present in the project area. Women account for as much as 80 percent of labor for tree planting.

In contrast with their role in farming and forestry, few rural women can access vocational training and extension services. Vocational training available to women is often short-term and concentrates on 'traditional' women's skills.

Although the social assessment did not explore specific features of the project area in relation to ownership of assets, it is likely that, as elsewhere in Vietnam, women's ownership of valuable assets such as land and housing is less secure compared to men's. Forest land in mangroves and inland coastal forests is largely under forest management boards and State forest farms, which then outcontract them to individual households or groups of households, solely considering household heads in these contractual relationships. With weaker rights over resources, women also have less access to formal credits, because banks generally require land use certificates as collateral.

## **A1 2.3. Relevant Features in the Project Context**

### **Institutional Framework and Government Agencies**

Government in Vietnam has set up a comprehensive legal and institutional framework promoting gender equality. Equal rights for men and women are recognized in the 1992 constitution. The Law on gender equality (No.73/2006/QH11) was voted 10 years ago. The Ministry of Labor, Invalids and Social Affairs has a Gender Equality Department since 2008. MARD engages in a number of global frameworks and conventions which all promote a gender perspective, particularly in relation with climate change and disaster risk reduction. Elements in the legal framework of direct relevance to the project include the following:

- The National Strategy on Gender Equality (2011-2020) has clear objectives for women's participation in managerial and leading positions, in entrepreneurship, and in vocational training for younger women.
- The Ministry of Agriculture and Rural Development (MARD) has its own gender strategy, which clearly defines the roles of the leaders of its various subsectors including forestry (Pham 2016).
- The amended Land Law (2013) requires both husband's and wife's full names to be inscribed on land use rights certificates for all types of land, including forest land.
- The National Forest Strategy (2006–2020) has established a full time gender focal unit. The need to develop the capacity of forestry sector officials is listed in this strategy (Pham 2016).

**Box 2. Vietnam's National Action Plan on Gender Equality (2016-2020): elements of relevance to the project**

**Objective 1: To intensify women's participation in managerial and leading positions**

- By 2015, 80% and by 2020, over 95% of (...) People's Committees at all levels will have female leaders.
- By 2015, 70% and by 2020, 100% of organizations will have 30% or higher of women holding key leading positions.

**Solutions:**

- To eliminate in the mass media prejudices and improper perceptions of the roles of men and women in family and society. To diversify images of women with different roles and occupations.
- To support the improvement of capacity for young female leaders through capacity building programs and projects.

**Objective 2: To narrow gender gap in the economic, labor and employment domains**

- The rate of female entrepreneurs will reach 30% by 2015 and 35% or higher by 2020.
- The rate of female rural laborers who are aged under 45 and vocationally trained will reach 25% by 2015 and 50% by 2020.

**Solutions:**

- To ensure conditions for women to fully and equally access cultivation land, credit sources, market information, law and policy information;
- To design policies to support establishments providing vocational training for rural labor, especially those attracting many female laborers.
- To ensure that State-funded agricultural, fishery and forestry extension activities attract female trainees.

There is a visible disconnection between this fairly complete framework and actual situation in government bodies. In the forestry sector, officials are predominantly male at all levels. Local officials describe the lack of guidance from central level as a limiting factor for the integration of gender equality into their work and "gender mainstreaming is seen as an

administrative requirement” (Pham 2016, from UN-REDD Vietnam program gender analysis). Underrepresentation of women among public decision-makers is however not specific to this sector since there are specific disadvantages for women in the public sector as a whole. Mandatory retirement at age 55 is a significant barrier to increased leadership of women in government (World Bank 2011). In some of the provincial DARDs or forest protection offices, the only women employed are the accountants (MARD 2016).

### **Human Endowment and Jobs in Rural Communities**

Vietnam’s rural areas have a large underskilled and unqualified middle-aged labor force, and a disproportionate share of women among them. Only 3 percent of women were considered as trained workers in 2015 in the agriculture, fisheries and forestry sectors nationwide. The gender wage gap is sizeable for unskilled employment in Vietnam: women earned 75 percent of men’s monthly wages in 2009. The situation had degraded compared to 2009 when this proportion was 80 percent. This gap was most pronounced for skilled workers in agriculture, forestry and aquaculture where women’s monthly wages were only 65 percent compared to their male counterparts, reflecting the overall important gender bias in these sectors (World Bank 2011).

In the Red River delta provinces, agricultural labor is largely feminized, with 40 percent of women engaged in agriculture compared to only 28 percent of males. In the North Central and Central Coast Area regions, agricultural employment is more important and more balanced between men and women (UN Women in Vietnam 2016). Women engage in all stages of animal production, especially pig and poultry (UNIFEM 2008).

There is a marked on-going reduction in the gender gap in education in younger generations. Girls now have equal opportunity to access secondary education, and their access to universities appears to be rapidly increasing (UN Women and MOLISA 2016).

### **Ownership and control of assets**

After almost 15 years of the implementation of the Land Law 2003, the number of female farmers with formal entitlements to agricultural land remains small. In 2013, the percentage of rural women who were named as sole owners (17 per cent) or joint owners with their husband (14 per cent) on the land-use title was still lower than the percentage of rural men named as sole owners (59 percent).

Female-headed households in Vietnam have overall less access to agricultural and forest land (MARD 2016). These households are often left out of forest management schemes because they are assessed as having not enough labor (MARD 2016). However, in the project provinces, female-headed households are less at a disadvantage compared to male-headed households than in other regions (UN Women 2016).

Aquaculture is an economic sector with clearly differentiated gender roles although limited gender-disaggregated information is limited. In general terms, aquaculture investments and resources are overwhelmingly controlled by men. Hired labor is generally taken by women. Women are active in harvesting activities and sales of lower-value aquaculture products (UNIFEM 2008).

### **Voice and agency**

There are strong stereotypes in the Vietnamese society regarding decision making. For example, in relation to disaster preparedness and climate change adaptation, researchers have highlighted how men make decisions on large investments while women take part in family discussions and make decisions on lower-value items (UNIFEM 2008).

The Vietnam Women's Union is present at all administrative levels, from the national to commune. The organization is very effective in mobilizing women to carry out national or local policies, but less effective in representing and defending women's interests. The Women's Union is usually consulted on matters affecting women or children, and sometimes on general socio-economic development policy issues.

In processes that require community consultation such as REDD+, two practical factors hindering the participation of women have been identified. First, more prominent, male community members tend to dominate discussions. Second, time and location of meetings may not be convenient for women (UN REDD Vietnam 2013).

### **A1 3. Opportunities and Potential Risks**

In summary, the project is an opportunity for positive impact on women provided they have equal opportunity to access several of its activities. This will require specific action. Action is also needed to avoid or minimize potential risk of negative impact in some locations or for some target groups, and to raise attention to equal wage levels.

**Table A1 1. Summary of Opportunities and Risks**

<b>Opportunities for positive impact</b>	<b>Potential risks</b>
<ol style="list-style-type: none"> <li>1. To support women-managed microenterprises (tree seedling nurseries, ecotourism).</li> <li>2. To link up tree planting and capacity building (technical and non-technical).</li> <li>3. To improve the rural road network and to incorporate women's specific needs in spatial planning.</li> <li>4. To ensure women membership and leadership in community forestry groups.</li> <li>5. To build linkages between coastal forest rehabilitation and women in natural disaster preparedness.</li> </ol>	<p><u>Direct risks</u></p> <ol style="list-style-type: none"> <li>1. Wages for tree planting by women might be unfair.</li> <li>2. Women might lose their rights to contracted resources in case they divorce or become widows.</li> <li>3. Vulnerable women might not have access to alternative livelihood sources and fuel resources when reducing open access to resources.</li> </ol> <p><u>Indirect risks</u></p> <ol style="list-style-type: none"> <li>4. Women's economic status and social status might be impacted by the development of tourism resorts, modern aquaculture, modernized livestock industries supported through project contracts.</li> </ol>

#### **A1 3.1. Overall Assessment**

**Restoring coastal forests**, unlike commercial forestry in remote upland areas, is conducive to active participation from women living close-by in local communities. The project has the potential to advance women's practical and strategic interests. Conversely, unless specific steps are taken during project implementation, women might mostly benefit from unskilled job opportunities with low wages, and their status in their communities might stagnate or worsen.

**A two-way beneficial relationship can be established** between incorporating a gender perspective into project design and implementation and ensuring successful project outcomes. With participation from both male and female community members, more comprehensive, efficient solutions for sustainable resource management may be identified and adhered to. Conversely, women engaging in more sustainable resource management in coastal communes will benefit from an improved status in their communities. In addition, practical solutions to minimize impact from forest closure on vulnerable households that depend on coastal forests for their livelihoods and women within these households.

### **A1 3.2. Equitable Access**

**Technical training and extension.** By employing and paying community members, mostly women, for planting coastal forests, the project will provide women with income generation opportunities. The project can make sure that women who do the planting are also the ones who receive extension training and technical skills needed for the job. Unless special attention is paid to attendance in extension and training, activities might reach mostly men who would not actually take part in planting trees. This might have consequences for tree survival. It would also result in training allowances benefitting male members in the family, and would fail to recognize women's roles and know-how in planting trees.

**Mangrove and community management contracts.** Mangroves that are transferred for protection and management to households or groups of households with project support are likely to shift from open access to closed access status, especially if the households and community develop extensive aquaculture. Only those who oversee the forest will have the right to harvest its resources. Women who previously relied on open-access mangroves for their living might be excluded in the new management arrangement.

**Household forest management contracts.** In the case of divorce or husband's death, women might lose access to the benefits gained from an individual contract or participation in a community contract unless contracts include their own name. If forests are allocated to community groups, putting a clause in group formation contract stating that either a husband or a wife can represent a member household will elevate women's position and better protect their rights.

### **A1 3.3. Potential Risks of Differentiated Impact**

**Women in tree planting.** Unless specific action is taken, wages paid to women workers for tree planting and forest tending might be substantially lower than for men. This would result in lower incomes. It would further reinforce unfavorable perceptions of women's roles in rural communities. In addition, tree planting campaigns might either bypass women with less available labor force in their households or increase excessively workloads of the women taking part.

**Aquaculture and livestock value chains.** The project is expected to encourage contracting between communities and corporate stakeholders in aquaculture. This might reinforce a current situation where women currently tend to have a very limited role in the management of aquaculture resources. In livestock industries such as raising pigs, the project may facilitate a shift from small-scale family farming to larger operations relying on waged labor, with consequences for women's status in these operations.

**Tourism sector investors and forest protection.** Companies developing beach resorts may be especially interested in protecting coastal forest landscapes around their facilities and accessing carbon credits as a result. There is likely to be a very unequal power relationship between poorer coastal communities and economic stakeholders in the tourism sector. The project sets up a process framework to ensure consultations and to minimize and mitigate resulting impacts. Vulnerable women deserve being a specific target group in this process. There is scope for innovative mitigation measures, e.g. financing alternative energy sources and cooking equipment.

**Tourism resorts and local communities.** The tourism sector also brings a risk of exposure to negative impacts from tourism resorts, especially for young women and girls. Although this would be an indirect impact from the project, and resorts may be existing ones, full attention should be given to the specific situation of coastal communities neighboring tourism resorts, including migrants living in these communities.

### **A1 3.4. Opportunities to Narrow Gaps**

**Small rural infrastructure.** Upgrading and repairing inter-commune roads will help local people, especially women, save travelling time and increase mobility and access to markets, provided their design incorporates local needs.

**Positive impact of women's participation in sustainable resource management.** In the forestry sector, recent research is increasingly pointing out to the positive effect of women's participation in community forest management on local governance and management of resources (Pham 2016). These studies, despite their empirical nature and the fact that they do not originate from Vietnam, provide an important rationale to encourage women's participation in project supported groups. Several communes have identified an opportunity to develop ecotourism together with mangrove restoration. Women may take an active role in the development of such activities, both in their family and in the community.

**Tree seedling nurseries.** As women access more technical training on tree planting, they are likely to think of developing private nurseries and other businesses related to tree saplings. If the project provides additional training in business development and management to complement technical training, project impact would go beyond women performing their task of planting coastal forest well. Women are active in small businesses in Vietnam so that project support is more likely to reach women entrepreneurs if private nursery schemes remain small-scale.

**Disaster risk reduction.** Provided linkage between project activities and disaster risk reduction is ensured, women gaining more voice in the management of forests that have a protective role against natural disasters might equally take more part in decision-making in preparedness for natural disasters. Vulnerable women would thus better benefit from disaster

preparedness programs, provided communities taking part in the project continue to be eligible to those programs.

#### **A1 4. Lessons Learnt from Similar Programs and Projects**

The World Bank's gender strategy recommends developing a better understanding and building on what works, in partnership with various organizations. Information in this section draws from various on-going World Bank-funded projects in Vietnam as well as from Vietnam's completed Forest Sector Development Project.

**Incentive systems in forestry projects.** Integrating a gender perspective in a forestry sector starts with taking a "trees and people" approach to forestry. This means establishing a balance between technical achievements in forestry (areas, improved varieties, survival rates) and social and economic outcomes. Project implementers and consultants should be encouraged to think in terms of "how does this project activity affect local people, and how do they affect women and men differently?".

**Participatory processes in forestry.** Detailed project design through community participation is well established in Vietnam. The scale and cost of participatory design are however a recurrent issue since communes are made up of many villages, and village-level interaction is time-consuming. Successful projects have defined a simple step-by-step process ensuring sufficient participation while remaining cost-effective.

**Defining Women's Union role.** The Women's Union network can be mobilized provided specific tasks are defined along with a budget.

**Practical details in project implementation** can be efficient when it comes to raising attention to the gender dimension. Any standard form in which information on "participants" is requested should collect participant's own names and gender.

#### **A1 5. Implications for Project Design**

##### **A1 5.1. Recommended Principles**

The Forest Modernization and Coastal Resilience Enhancement Project is an innovative project taking place in relatively easily accessible areas with economic development potential from various sectors.

A gender mainstreaming strategy, whereby all project activities should pay attention to reaching both men and women, and minimum participation targets for women should be reached, is not recommended.

Instead, a strategy tailored to the specific features of the project is recommended. This strategy would take the form of a set of three principles:

- Principle 1: women are actors of community-based resource management in coastal areas.
- Principle 2: women micro-entrepreneurs and vulnerable women require specific attention during project implementation.
- Principle 3: enterprises accessing project partner status will be requested to ensure equitable access to project benefits for women.

In each of these areas, **determination, pragmatism and pushing things little by little** over a long term will bring better results in achieving greater gender equality than short-term rush.

This project level strategy is consistent with the World Bank's countrywide framework.

**Box 3. World Bank's Vietnam Gender Assessment (2011): 5 recommendations are relevant to the project:**

- Improve implementation of the Law on Gender Equality and the National Strategy on Gender Equality
- Increase the involvement of men and boys when addressing gender issues
- Increase training and incentives for women to enter a broader range of occupations
- Address the double work burden through better infrastructure
- Build capacity for women's empowerment and involvement in civic life.

**A1 5.2. Gender Action Plan**

Implementing the project's principles for gender will require the following key actions:

- For principle 1:
  - Promoting inclusion of women in community co-management boards including in leadership positions and building capacity for this
  - Identifying co-management options that build on women's stated preferences.
- For principle 2:
  - Actively support women to become micro-entrepreneurs
  - Monitoring of fair wages and access to training for female labor force in tree planting
  - Funding of alternative solutions for cooking fuel and equipment for vulnerable households.
- For principle 3: social responsibility of economic operators. The project would:
  - Include related criteria in competitive selection processes
  - Invite formal commitment by major economic players.

The following tables provide details for each component. M stands for mitigation actions, E for actions providing equal opportunities for women, and/or G for actions that would contribute to closing the gap between men and women in the relevant dimensions of the project's context.

*Actions in italics require a specific budget.*

**Component 1 – Enabling Effective Coastal Forest Management**

<b>Project activity</b>	<b>Recommended action</b>	<b>Expected outcome</b>
Integrated Spatial Planning (ISP) for Coastal Areas	In public consultations, participation of women villagers must be ensured through (1) appropriate location and timing for meetings, (2) women-only focus discussion groups - except in contexts where mixed groups allow women to express their voices, and (3) a balanced share of women respondents in household survey samples.	E



	Men and women should be invited to provide feedback on spatial planning options that interact with women's livelihoods and quality of life (e.g., access to fields, to daily market) and with natural disaster preparedness.	E
Small scale nurseries	Both men and women candidates should be invited to develop small-scale tree seedling nurseries. They should have access to technical and business development training.	E G
Payment for Forestry Environment Service contracts	See process framework in Section 5.4 below.	

### Component 2 – Coastal Forest Development and Rehabilitation

Project activity	Recommended action	Expected outcome
Technical training for tree planting	Women will be encouraged to take part in training activities, both technical and non-technical, through <i>communication and facilitation with support from the Women's Union</i> .	G
	Training will be organized in places and at times that are compatible with rural women's caring responsibilities.	E
Tree planting and forest tending	Equal payment for unskilled labor by men and women, if supported through the project, should be <i>promoted and monitored with support from the Women's Union</i> .	E
Mangrove forest management by community groups	Balanced leadership consisting of men and women in community groups for forest protection and management will be promoted <i>with support from the Women's Union</i> .	E G
	<i>Households who previously depended on open-access forest resources for their fuel source will be supported with alternative stoves and cooking equipment.</i>	M
Forest contracts to individual households	When a forest is transferred to households for protection and management, both husband's and wife's names should be in the forest transfer contract, and <i>this should be monitored</i> .	M E G

### Component 3 – Generating Sustainable Benefits from Coastal Forests

Project activity	Recommended action	Expected
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		<b>outcome</b>
Competitive grants	Labor availability, as assessed by commune authorities, should not be an eligibility criteria.	E
Training centers	Training centers should be designed to accommodate both male and female trainees.	E G

In addition there will be the actions also identified below:

<b>Results of the project</b>	<b>Work and indicators</b>	<b>Responsibility</b>	<b>Time</b>
Result 1: protection, planting and restoration of coastal forests	<ul style="list-style-type: none"> <li>• At least 50% of women involved in planting and protecting coastal protection forests as well as co-management</li> <li>• Minimum of 50% women participating in forest extension classes</li> </ul>	Official of the Provincial Project Management Board, District officials, Commune officials	During the project implementation

Results of the project	Work and indicators	Responsibility	Time
Result 2: Invest in new and upgraded infrastructure of forest livelihoods	<ul style="list-style-type: none"> <li>• The contractor will have to prioritize the use of unskilled labor (through subcontracting); there must be at least 30% of the total labor force is unskilled in the locality;</li> <li>• Of the 30% local labor, giving priority to women workers are not skilled; Labour men and women will receive equal wages for the same type of work;</li> <li>• The contractor shall not hire child labor;</li> <li>• These local people want to work for the project will write their names on the list of villages/hamlets. Village chiefs and commune officials will provide this list to the contractor, the contractor will choose on the basis of priority poor, vulnerable households</li> </ul>	<ul style="list-style-type: none"> <li>• CPMU/Project Coordinating Consultants will be responsible for these terms specified in the contract; the commune officials will submit to contractors a list of local labors who want to work for the project;</li> <li>• The communal officers are responsible for ensuring the achievement of its objectives.</li> <li>• Women's Union also has a responsibility to ensure that women are hired to work for the project.</li> </ul>	During construction

Results of the project	Work and indicators	Responsibility	Time
Result 3: Raising awareness about the potential of social evils for those vulnerable, especially women and ethnic minorities	<ul style="list-style-type: none"> <li>• Programme on HIV/AIDS preventing and human trafficking.</li> <li>• Risk reduction programs based on community</li> <li>• Information on risk reduction will be transferred to the effected people in communes and villages because the project use the approach with the participation on the poor and vulnerable households (ie, female-headed households, the elderly or disabled people)</li> <li>• The documents and information must match the language, culture and gender, specially need be translated into several languages, depending on the ethnic areas;</li> <li>• Women's Union, the representative of the center for HIV/AIDS preveting will train social communicators for each commune/villages in the project area.</li> <li>• The program will be implemented in communes and villages by two communicators (village head and one member of the Women's Union).</li> <li>• The program will be implemented in the villages and in the market by the way of distributing its document materials and use loudspeakers</li> </ul>	<ul style="list-style-type: none"> <li>• Provincial and Communal Women's Unions are responsible for organizing and implementing the program (training and preparation of ducument materials) in collaboration with the district health center.</li> <li>• The village women's union is responsible for informing and delivering the information.</li> <li>• The district and commune health center will have to support Women's Union.</li> <li>• Project Coordinating Consultants will provide experts on gender in the country and in the world</li> <li>• Gender experts will review the existing document, supplementeif necessary to the program</li> </ul>	Every month, before and during the project construction

Results of the project	Work and indicators	Responsibility	Time
	<p>Programs of risk reduction in the construction process:</p> <ul style="list-style-type: none"> <li>• CPMU and the contractor will work closely with the medical services in the communes and districts to implement programs to raise awareness, training, prevention, diagnosis and treatment for labors.</li> <li>• All programs and documents are built with integration of gender issues, includes vulnerable and sex needs of both men and women.</li> </ul> <p>The contractor will carry out some work as follows:</p> <ul style="list-style-type: none"> <li>• Implement programs to increase awareness for employees and the community, including information, education, advocacy refers to issues of HIV and guide preventive measures.</li> <li>• Free counseling and encouraging HIV testing employees to ensure that they all know about their health situation.</li> <li>• Supporting the local people access to health services and encourage the people to admit they infected HIV already;</li> <li>• Providing medical devices (condoms free of charge) for workers in camps;</li> </ul>	<ul style="list-style-type: none"> <li>• CPMU</li> <li>• Contractors</li> <li>• Local health centers</li> <li>• Commune officials</li> <li>• Women's Union will jointly carry out in order to create greater power in HIV prevention</li> </ul>	During construction

#### Component 4 – Project Management and Monitoring & Evaluation

Project activity	Recommended action	Expected outcome
Support to project management units	Any position opening will confirm the position is open to men and women applicants.	E G
Competitive grants	The list of criteria will include demonstration of attention to equitable access to project benefits for women.	E
Enterprise partnership contracts	Contracts will confirm how equitable access to project benefits for women, promotion of women leadership	M E

	and attention to vulnerable women will be ensured.	G
Implementation process	<ul style="list-style-type: none"> <li>• The guidelines on gender and the development, training on gender will be provided to the CPMU staff, local organizations and contractors.</li> <li>• All capacity development activities will include the women's participation and EM.</li> </ul>	M E G
Communication	Any visual media, key message or story about the project will show men and women in a balanced manner.	G
Monitoring	<p>Standard sheets showing gender will be used for all activities requiring gender disaggregated monitoring (see 5.4 below).</p> <p>Sampling in satisfaction surveys will be carefully designed to ensure balanced coverage by gender and by income level.</p>	E G
Evaluations	Terms of reference will request teams to include at least one member with gender experience.	G

### **A1 5.3. Responsibilities and Budget for the Gender Action Plan**

Management Board for Forestry Projects, through the central Project Management Unit, and the World Bank's task team take joint responsibility for implementation and M&E of the gender action plan. PPMU and the task team will invite, where appropriate, the provincial level Women's Union to support communication campaigns and facilitation for women micro-entrepreneurs, women community leaders and vulnerable women. Should mobilization of the Women's Union be unfeasible, facilitation would be internalized within the provincial PMUs.

A specific budget will be made available for the following:

<b>Activity</b>	<b>Target</b>
Facilitation and communication	47 district-level Women's Union or PMU staff
Mangrove restoration manual, focusing on women's role	1 research and extension team
Stoves using alternative fuel source and cooking equipment (if households are losing access to their conventional source of fuel)	Around 2500 households (10 per commune)

Estimations for some of the specific costs

**Table A1 P1.2: Cost estimate for GAP**

No.	Training contents	Required proportions of women	Estimated budget
1	Capacity building on social management of the sub-project, with community involvement	At least 50%	10,000,000/1 course x 47 courses
2	Technical training on forestry extension services	At least 50%	20,000,000 mil/1 course x 47 courses
3	Awareness raising on infectious disease prevention and control	At least 50%	10,000,000/1 course x 47 courses
4	Awareness raising on maternal and health	100%	20,000,000/1 course x 47 courses
5	Training and raising awareness of women about integrating gender action plan in sub-project.	50%	10,000,000/1 course x 47 courses
6	Training on likelihood to enable around affected households		400,000,000
<b>Total</b>			<b>3,690,000,000</b>

Budget: The budget for this is considered for 47 districts of 8 project provinces.

#### **5.4. Finalization of Project Design**

##### **Project objectives and indicators**

Project managers have opted for a short formulation of the project development objective (PDO). In addition to the PDO, documents should underline that the project seeks to improve coastal forest management in the selected provinces *through the active involvement of communities in coastal communes and their members, both men and women.*

One PDO-level indicator is relevant for disaggregation by gender: share of targeted beneficiaries with rating ‘Satisfactory’ or above on project interventions (the other two indicators at that level are area-based indicators).

Terms of reference for this satisfaction survey will require balanced coverage of men and women in the survey sample. In order to be able to confirm and explain any difference between men and women in satisfaction towards the project, all questions in the survey should be analyzed separately for men and women. Part of the focus group discussions should take place with groups of women.

Additional indicators for specific actions must be disaggregated by gender:

- Monitoring training attendance. Although there should not be any target for women's participation in training, the proportion of men and women attending training must be monitored.
- Tree seedling nurseries and other microenterprises. Candidates and beneficiaries should be monitored by gender.
- Community forest management groups. Similarly, membership must be disaggregated by gender (monitoring the active member in each household). The minimum number of women in commune-level management groups should be 2.
- Land management contracts. The number of contracts signed by both husband and wife, household head alone, and gender of household head, must be monitored.
- Women-headed households. Participation of women-headed households in the project is a topic for supervision and evaluation.

Monitoring and evaluation should cover natural disaster preparedness activities in beneficiary communities to ensure that these activities, which are of special interest to vulnerable women, are continuing.

### **Finalization of project design**

<b>Project management process</b>	<b>Recommended action</b>	<b>Expected outcome</b>
Project operational manual	The POM will include the gender action plan's principle and incorporate recommended actions in relevant sections of the manual.	M, E, G
Process framework for restriction of access to coastal forests	The process framework and the competitive grant process must be carefully coordinated. Investors from the tourism and aquaculture sectors should commit to complying with recommendations from the process framework before competitive grants are allocated.  The process framework will specify how to ensure women's participation at each stage.  Competitive grant criteria should include social criteria for the partner enterprises, e.g. sustainable tourism.	M
Provincial ethnic minority development plans	Migrant women from ethnic minority communities working in communes/districts where project activities are implemented should be identified, and project impact on them should be monitored.	M

### **Useful Resources for Project Stakeholders**

Government of Vietnam, 2011. National Strategy on Gender Equality for the 2011-2020 period.

UN Women in Vietnam and MOLISA, 2016. Facts and figures on women and men in Vietnam, 2010-2015. First edition, 2016. 151 p.



World Bank, FAO and IFAD, 2009. Gender in Agriculture Sourcebook. 763 p.

World Bank Group, 2016. 2016-2023 Gender Strategy: Equality, Poverty Reduction and Inclusive Growth. 97 p.

### **Documentation Reviewed for the Gender Note**

Pham, T.T. et al, 2016. Women's participation in REDD+ national decision-making in Vietnam. CIFOR. Upcoming publication in International Forestry Review. 11 p.

UN-REDD VIETNAM. 2013. UN-REDD Vietnam program gender analysis. United Nations Collaborative Program on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries, Hanoi.

UN Women in Vietnam, 2016. Towards Gender Equality in Vietnam: Making Inclusive Growth Work for Women. 143 p.

UNIFEM 2008. Gender and climate change in Vietnam: a desk review. 32 p.

World Bank, 2011. Vietnam Country Gender Assessment. With AusAID, UKAid and UN Women. 103 p.

### **List of Acronyms**

CIFOR	Center for International Forestry Research
DARD	Department of Agriculture and Rural Development
FAO	Food and Agriculture Organization, United Nations
IFAD	International Fund for Agricultural Development
MARD	Ministry of Agriculture and Rural Development, Vietnam
MOLISA	Ministry of Labor, Invalids and Social Affairs
PIM	Project Implementation Manual
REDD	Reducing Emissions from Deforestation and forest Degradation
UN	United Nations
UNIFEM	United Nations

## **ANNEX 2. PUBLIC HEALTH ACTION PLAN**

The activities of the subproject will generate impacts on the surroundings quality: air, water and soil environment, in addition it may arise disease. All these factors will affect directly farmer who work directly for project, the entire population around the project area. The consequence of these effects lead to increase occupational accidents, traffic accidents, diseases related to respiratory and intestinal system and eyes. Although subproject have had measures to limit pollution such as dust, emissions, wastewater and epidemics, but there are potential impacts that we do not see immediately, so need to take measures for early detection of disease and sources of disease. The plan indicates the measures to minimize and prevent those impacts.

### **A2 2.1. Objective**

To control and prevent diseases, raise awareness of the people and the workers to protect health yourself; help people access fully medical services. Organize regularly medical examination to detect early disease due to impacts of the subproject; to build treatment plans for incidents related to diseases, pesticides, occupational accidents and traffic.

### **A2 2.2. Measure and content of public health management**

- To train and raise awareness, prevent impacts on health
- Organize regularly medical examination for workers and people in the subproject region
- Build plan to minimize the impact on public health
- Build plan to prevent and treat diseases
- Role and responsibility of agencies, organizations and individuals
- MBFP (CPMU)/PPMUs): are responsible for building materials about public health safety training.
- Coordinate all levels of authorities in project communes, project districts (local authorities, Fatherland Front, Women's Union, Farmers' Union, Youth Union, hamlet representative) organize propaganda activities about health safety.
- Department of Health, districts Preventive Medicine Center
- To train and raise awareness for all basic levels, contractors and residents about prevention measures and treatments of diseases;
- Check the medical examination process;
- To direct promptly when epidemics appear, resolving incidents related to public health.
- People's Committee, Social Organizations
- To direct, guide and organize the health safety work; to coordinate closely with contractor, Department of Health and Preventive Medicine Center when epidemics appear.
- Health Station: To prepare the medical examination plan and guide water pollution treatment, epidemic prevention and treatment.

- Implementation Schedule
- Public Health Management Plan implemented at 3 stages of the subproject and extended 6 months at operation stage.

**Table A2 P2.1: Potential Impacts during the Project Implementation**

No.	Impacts	Yes-Level	No	Description of Impacts
1	Use of pesticides, fertilizers	Yes-medium		Fertilizers directly affecting their health due to use during nursery, planting and tending
2	Noise and vibration	Yes-medium		<p>Noise and vibration will arise from material transport vehicles. However, such vehicles and machinery will be controlled in term of expiry dates, construction times (daytime), and the use of sirens when passing through residential areas.</p> <p>For this Project, the construction location is not near other infrastructure; therefore, there is no impact.</p>
3	Air pollution	Yes-minor		<p>Air pollution may be caused by material automobiles that waste out exhaust fumes and dust during the transportation and handling of materials as well as by dust during the construction.</p> <p>During the transportation, trucks will be covered to prevent materials from spillage and only licensed vehicles are used. In addition, watering the construction sites when the weather is dry and windy will be implemented.</p>
4	Disturbances of rural traffic?	Yes-minor		Building materials as sand, stones, cement will be sourced from local plants of suppliers and will be taken directly to the construction sites.
5	Damage or deterioration of urban roads		No	All materials and equipment are classified for the transportation in accordance with the load of existing inter-village, inter-communal roads.
6	Conflicts between construction workers and local people	Yes-minor		Construction workers and local people have different incomes, lifestyles and customs. However, no major contradictions will arise because people here and workers are sharing the same Vietnamese language for their general communications. In addition, the project employs some local workers for manual works. So, no major conflicts between workers and local people happened.
7	Health and safety for workers and local people	Yes-minor		Accidents may happen during the construction if the safety is not strictly followed: Checking equipment before use, installing sign-boards in dangerous locations (These accidents may occur not only for workers but also for local people. However, all safety

No.	Impacts	Yes-Level	No	Description of Impacts
				measures for construction are shown in bidding documents and construction contracts, these risks can be limited accountably.

**Table A2 P2.2: Implementation Schedule of “Public Health Management Plan”**

Measure	Content	Responsible unit
To train and raise awareness, prevent impacts on health	<ul style="list-style-type: none"> <li>- Identify the impact of air and water environment, food safety.</li> <li>- Training on use of pesticides, fertilizers</li> <li>- Preventable measures (using a comforter when entering the affected area, treat water pollution by alum and chloramine B)</li> <li>- Cleaning household sector, ranch house</li> </ul>	<ul style="list-style-type: none"> <li>- Project Management Unit (CPMU)</li> <li>- Provincial Project Management Unit (CPMU)</li> <li>- Districts Preventive Medicine Center</li> <li>- Health Station at commune/ ward</li> <li>- Contractor</li> </ul>
Organize regularly medical examination for people who worked directly for project and people in the subproject region	<ul style="list-style-type: none"> <li>- Check the health of workers (people who worked directly for project ) 3 months/ time, residents in the affected areas 6 months / time</li> <li>- The diseases related to respiratory system, intestinal tract, eyes</li> <li>- To consult the affected people during examination</li> <li>- Advise or handle when the detection of abnormalities related to the impact of subproject (timely notify to the authorities and functional nits)</li> </ul>	<ul style="list-style-type: none"> <li>- Project Management Unit (CPMU)</li> <li>- Provincial Project Management Unit (PPMU)</li> <li>- Districts Preventive Medicine Center</li> <li>- Health Station at commune/ ward</li> <li>- Contractor</li> </ul>
Build plan to minimize the impact on public health	<ul style="list-style-type: none"> <li>- Medical staffs at commune/ ward monitor regularly the implementation of the mitigation measures of construction units.</li> <li>- To treat timely occupational accidents and traffic</li> <li>- To vaccinate completely children, pregnant woman</li> </ul>	<ul style="list-style-type: none"> <li>- Project Management Unit (CPMU)</li> <li>- Provincial Project Management Unit (PPMU)</li> <li>- Districts Preventive Medicine Center</li> <li>- Health Station at commune/ ward</li> <li>- Contractor</li> <li>- Women's Union</li> <li>- Fatherland Front</li> </ul>
Build plan to prevent and	<ul style="list-style-type: none"> <li>- To spray fly and mosquito- spray in the project area with the frequency of 3</li> </ul>	<ul style="list-style-type: none"> <li>- Project Management Unit (CPMU)</li> </ul>

Measure	Content	Responsible unit
treat epidemic	<p>months/ time.</p> <ul style="list-style-type: none"> <li>- To guide the water sanitation; use chloramine B for pretreatment of wastewater on work site and households.</li> <li>- When appearing epidemic, we need localize epidemic, isolate infectious objects and spray chloramine B to disinfect.</li> </ul>	<ul style="list-style-type: none"> <li>- Provincial Project Management Unit (CPMU)</li> <li>- Districts Preventive Medicine Center</li> <li>- Health Station at commune/ ward</li> <li>- Contractor</li> <li>- Women's Union</li> <li>- Fatherland Front</li> </ul>

**Table A2 P2.3. Trainings on community health action plan during the implementation of the Project**

Training contents	Estimated budget
Technical training on Occupational Health and Safety	10,000,000/1 course x 47 courses (47 district)
<b>Total</b>	<b>470,000,000 VND</b>

## **ANNEX 3: COMMUNICATION, INFORMATION DISCLOSURE, PUBLIC CONSULTATION AND PARTICIPATION PLAN**

### **3.1. Consultation**

The main goal of information disclosure and public consultation is to ensure the participation of affected communities, families, local authorities and organizations involved in the sharing of information on projects, advice on the choice of technical solutions, expects the impact on land, income and assets on land. The disclosure is an important contribution in promoting progress of the project during implementation, preparation, and when the project is put into operation with the consensus of the community, local authorizes and the Project Management Board (PMU). This will minimize the possibility of conflicts arising and other risks, increase investment efficiency and social significance of the project.

The information disclosure and community consultation must ensure that:

- (i) The local authorities as well as representatives of the affected people will be involved in project planning and decision-making process. Project Management Board will work closely with the commune/district authorities in the project implementation process. The participation of the affected people in the implementation process will be continued by asking the commune district to invite them to participate into the council members of compensation, clearance and resettlement and partly resettlement activities.
- (ii) Share all information on items and planned activities of the project for the affected people.
- (iii) Gather information about the needs and priorities of those affected as well as receive on their response to the policy and the proposed activities.
- (iv) Ensure that those affected can be fully informed of the decision directly affects their income and lives, and they have the opportunity to participate in activities and decision-making process on issues directly affect them.
- (v) Ensure transparency in all activities related to land acquisition, compensation, resettlement and rehabilitation.

For the World Bank's requirements: The people, who are affected by the project, need to be fully informed and consulted about resettlement and compensation plans. Consultation is the starting point for all activities related to resettlement. Those affected by resettlement may fear that their livelihoods and community relations could be affected, or fear their benefits being not guaranteed. Being involved in the planning and managing the resettlement likely help themselves ease fears and bring the affected people the opportunity to participate in decisions that will affect their lives. The implementation of resettlement without consultation may lead to an inappropriate strategy and ultimately ineffective. No consultation, affected people may react negatively to the project, causing social problems, significantly slowing down the completion of the target, and costs will be more. Therefore, with good consultation, initial objections about the project can be translated into constructive participation.

For Vietnam regulation: The compensation and land clearance for those affected will be carried out according to the Land Law in 2013 with effect from July 1, 2014, Decree 47/2014/ND-CP May 15, 2014 on compensation, support and resettlement when the State

recovers land. The Circular No. 37/2014/TT-BTNMT detailed provisions on compensation, support and resettlement when the State recovers land. So, consultation and participation is an innovation in the implementation of projects in Vietnam. This policy will overcome the shortcomings in the process of deployment and implementation of projects, because both local and project implementation people are inexperienced in this field.

The following points should be noted in order to encourage the stakeholders to involve in the consultation process in the project:

- Identify and draw all stakeholders, especially the people living in the project area, the affected people (men, women, the poor, ethnic minorities) in the process of consultation and participation;
- Develop strategies for participatory planning, implementation, monitoring and evaluation of the project.
- Build the contents, topics needed for promotional campaigns and the dissemination of information, and build processes to affected people negotiate their interests.
- Attract the stakeholders in decision-making at all stages of the project (e.g. the design plans, compensation methods, consulting with those affected on the means of compensation, implementation schedule, etc.).
- Set up a schedule to complete the work as a campaign to provide information, the level and form of compensation, benefits, location and relocation plan.
- Develop procedures for settling complaints.

Regular community consultation should be made with the units that establish and design all items of the project. This ensures the design proposals with the participation of the community and limits the adverse effects on the community. This also works with the community more friendly and users.

Consultations also need to do with the stakeholders, in which the units will be responsible for managing and operating works, ensuring that they are consulted and give options on the design.

During the construction phase, the project should be promoted on the mass media about the construction activities and expected progress, measures to support the affected people and to acquire and process feedback information from the community. Affected people (AP) will be informed about the policies and procedures of the project to ensure their later life did not change much. Affected people will be notified if they have any questions about the project, the project manager can help solve.



**Table P3.1: The content and form of consultation / information disclosure**

The information need be released	The consultation and announcement forms	Time	Performer
1. Design drawings and specifications	The meetings to discuss with the authorities of communes/wards and departments, related organizations; representatives of affected households.	The process of project design	Consulting, PMU
2. The information on recovery, site clearance and compensation	The official of ward/ commune and PMU make consultations with affected households to have the initial assessment.  Build the plans for recovery, compensation and discussions with APs before the authority makes decision.  Disclosure policies and answer questions through meetings with APs	Before the project deployment	Consulting unit, PMU
3. Information on the progress of implementation, monitoring mechanisms and accountability	Meetings population groups; notification stickers and posters placed in public information.	When initiated and maintained throughout the deployment process	PMU, CPC
4. Information on the use and wage of local labor	Third party meeting between the construction company with the authorities / monitoring committee ward/commune and local people	Before construction	Construction units, community monitoring committee
5. Information on the potential adverse impacts and mitigation solutions.	Combined with the above activities 2 and 3	Before and during implementation.	PMU, implementing unit, CPC

### 3.2. Disclosure of information

Disclosure of information: According to the policy of the World Bank on access to information, all safety documents of the project must be announced locally in places accessible to the form and language that is understandable to stakeholders; Vietnamese and

English forms at the Management Board of Forestry Projects and Info shop before catching the appraisal team. Safety documents to be published at the website and at the Center for Information Development of the World Bank located in Hanoi. The safety documents will be sent to the DPC/CPC in project area so that the community and interested organizations can access, monitor and implement.

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

Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/GRS>. For information on how to submit complaints to the World Bank Inspection Panel, please visit [www.inspectionpanel.org](http://www.inspectionpanel.org).

**Table P3.2. Cost estimate for information disclosure**

<b>Activity</b>	<b>Frequency</b>	<b>Quantity</b>	<b>Unit price</b>	<b>Cost estimate</b>	<b>Expenditure</b>
Broadcast news on loudspeakers about construction activities	once a week during implementation	47 districts	5,000,000 per districts	VND 235,000,000	These costs are included in the contract between the employer with relevant parties
Organize large-scale consultation meeting with commune, district government and households related to construction of the works	once every two month during implementation	47 districts	VND 5,000,000 /1 meeting	VND 235,000,000	These costs are included in the contract between the employer with relevant parties
Stick on the bulletin board to announce information to the commune People's Committee and the people	twice a week/ during implementation	47 districts	VND 5,000,000 /1 meeting	VND 235,000,000	These costs are included in the contract between the employer with relevant parties
<b>Total</b>				<b>VND 705,000,000</b>	

## ANNEX 4: Grievance and Redress Mechanisms

The affected people have the right to complain about the issues relating to their rights and responsibility in the implementation of the project, there is no limit to issues such as: compensation policies, price unit, land acquisition and other policies related to supporting program to restore life. Complaints may also be related to the issues such as: construction safety, inconvenience caused by construction. The grievance procedure must have the approved procedure and may sent to third party to resolve the conflicts arising from resettlement; such complaint mechanism must take into account the availability of judicial claim, the community, and traditional mechanism of conflict resolution. All complaints will be recognized, acknowledged and processed by the authorities at all levels.

The local organizations such as the Fatherland front, Association of Farmer, Association of Women... are mobilized to actively participate in the process of resolving complaints and inquiries. Affected people can report their complaints (without any administrative and legal fees) to the unit affiliated to the People's Committee at district and commune level. The executing agency must ensure having allocated responsible staffs to work in the project and maintain the report system. If possible, the project ensure the effective explanation in case the affected people have difficulty in communicating in Vietnamese. According to the above arrangement, the grievance procedure will be:

**Step 1:** those who are not satisfied with any content in the program of economic restoration and compensation can report in oral and written form to the Communal People's Committee, the commune will be responsible for resolving complaints within 15 days via checking, identifying and recommending the upper-level agency.

**Step 2:** after the expiration date, if there is no agreement or mediation between the affected and the communal People's Committee or there is no answer from the communal People's Committee, the affected people can appeal to the District People's Committee, the district will make its decision within 30 days after receiving the complaint.

**Step 3:** if after the expiration date, there is no agreement or mediation between the affected people and the DPC or no answer from the DPC, the affected people may submit to the responsible agencies of the PPC, the province will make its decision within 30 days after receiving the complaint.

**Step 4:** if the affected people are not satisfied with the decision of the province, they can submit their case to the People's court of the province for resolution.

The affected people will be exempted from all the legal and administrative fees for the appeal. Besides, a deposit account to pay for the compensation should be used in case complaints get resolved to avoid the lateness for the project while ensuring the payment of compensation for damage after the complaint get resolved. All their inquiries, proposal, complaints and resolutions should be recorded and transferred to a computer to easily keep track of every month.

Decision on solving the complaints must be sent to the aggrieved APs and concerned parties and must be posted at the office of the People's Committee where the complaint is

solved. After three days, the decision/result on solution is available at commune/ward level and after seven days at district level.

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

In order to minimize complaints to the provincial level, CPMU will cooperate with the District Resettlement Committee to participate in and consult on settling complaints. Staff, assigned by PPMU, will formulate and maintain a database of the PAPs' grievances related to the Project including information such as nature of the grievances, sources and dates of receipt of grievances, names and addresses of the aggrieved PAPs, actions to be taken and current status. In case of verbal claims, the reception board will record these inquiries in the grievance form at the first meeting with affected people.

The grievance resolution process for the Project, including the names and contact details of Grievance Focal Points and the Grievance Facilitation Unit (GFU), will be disseminated through information brochures and posted in the offices of the People's Committees at the communes and districts and PPMU. All complaints and grievances will be properly documented and filed by the commune and district PCs as well addressed by PPMUs through consultations in a transparent and proactive manner. These grievance documents and report will be made public accessible. All costs associated with grievance handling process incurred by the claimant and/or her/his representatives are to be covered by the project developer. To ensure that the grievance mechanism described above are practical and acceptable by PAPs, it were consulted with local authorities and communities taking into account of specific cultural attributes as well as traditional-cultural mechanisms for raising and resolving complaints and conflicting issues.

## ANNEX 5: THE RESULTS OF SURVEY

**Table P1: Number of people interviewed by province and gender**

No	Province/City	Number of interviewed people	By gender		By ethnics group	
			Male	Female	Kinh people	Ethnic Minorities
1	Quảng Ninh	32	17	15	26	6
2	Hải Phòng	34	18	16	34	0
3	Thanh Hóa	29	11	18	25	4
4	Nghệ An	44	11	34	40	4
5	Hà Tĩnh	37	21	15	37	0
6	Quảng Bình	47	34	13	44	3
7	Quảng Trị	50	21	29	48	2
8	Thừa Thiên Huế	48	32	16	48	0
	<b>Total</b>	<b>321</b>	<b>165</b>	<b>156</b>	<b>302</b>	<b>19</b>

**Table P2: The average member number of household (persons / households)**

No	Province /City	The average member number of households	People by ethnic	
			Kinh group	Ethnic minorities
1	Quảng Ninh	3,66	3,59	3,88
2	Hải Phòng	3,35	3,35	0
3	Thanh Hóa	4,11	4,08	4,66
4	Nghệ An	3,47	3,38	4,25
5	Hà Tĩnh	3,41	3,41	0
6	Quảng Bình	4,04	4,03	4,36
7	Quảng Trị	4,54	4,47	5,23
8	Thừa Thiên Huế	4,02	4,02	0
	<b>Average rate of region</b>	<b>3,83</b>	<b>3,79</b>	<b>4,48</b>

**Table P3: The economic situation of households (households)**

No	Province /City	The economic situation of interviewed households			
		Upper Average	Average	Near poor	Poor
1	Quảng Ninh	3	24	1	4
2	Hải Phòng	4	19	5	6
3	Thanh Hóa	3	11	11	4
4	Nghệ An	2	16	5	21
5	Hà Tĩnh	0	17	3	17
6	Quảng Bình	5	5	17	20
7	Quảng Trị	10	25	6	9
8	Thừa Thiên Huế	10	15	7	16
	<b>Total on whole region</b>	<b>37</b>	<b>132</b>	<b>55</b>	<b>97</b>
	<b>Percentage</b>	<b>11,5</b>	<b>41,1</b>	<b>17,1</b>	<b>30,2</b>

**Table P4: Occupation of the household members interviewed (person)**

	Quảng Ninh	Hải Phòng	Thanh Hóa	Nghệ An	Hà Tĩnh	Quảng Bình	Quảng Trị	Thừa Thiên Huế	<b>Total</b>	<b>%</b>
Agriculture	30	7	7	20	21	67	66	35	<b>253</b>	20.21
Forestry	24	4	5	2	6	4	2	5	<b>52</b>	4.15
Fishery	16	8	7	3	13	17	16	8	<b>88</b>	7.03
Trade, Servic	9	5	14	12	3	3	6	7	<b>59</b>	4.71
Official, officier	2	6	7	2	1	11	18	7	<b>54</b>	4.31
Worker	3	6	4	4	3	8	19	18	<b>65</b>	5.19
Employee	5	14	18	21	9	25	11	21	<b>124</b>	9.90
Pupil, student	7	12	22	32	17	29	55	47	<b>221</b>	17.65

	Quảng Ninh	Hải Phòng	Thanh Hóa	Nghệ An	Hà Tĩnh	Quảng Bình	Quảng Trị	Thừa Thiên Huế	<b>Total</b>	<b>%</b>
Retired, Elderly	3	23	14	13	12	2	6	10	<b>83</b>	6.63
No job, No work	7	26	7	24	7	10	14	17	<b>112</b>	8.95
Under age 6	5	10	11	15	8	13	12	7	<b>81</b>	6.47
Other occupation	5	3	4	8	23	3	2	12	<b>60</b>	4.79

**Table P5: Income sources by household living standard(%)**

No	Provinces	Income sources of surveyed households (%)		
		Agro-forestry and fishery	Non Agro- forestry and fishery	Employees and salary
1	Quảng Ninh	38.4	25.4	36.2
2	Hải Phòng	28.8	33.4	37.8
3	Thanh Hóa	33.6	36.9	29.5
4	Nghệ An	31.7	35.5	32.8
5	Hà Tĩnh	35.8	33.1	31.1
6	Quảng Bình	36.3	25.2	38.5
7	Quảng Trị	35.3	29.1	35.6
8	Thừa Thiên Huế	34.5	33.9	31.6
	Average	<b>34.3</b>	<b>31.6</b>	<b>34.1</b>

**Table P6: The structure of the surveyed household income of Agriculture, Forestry and Fisheries (%)**



No	Provinces	The structure of the surveyed household income of Agriculture, Forestry and Fisheries (%)		
		Agriculture	Forestry	Fishery
1	Quảng Ninh	50.6	21.6	27.8
2	Hải Phòng	65.2	10.5	24.3
3	Thanh Hóa	58.1	13.6	28.3
4	Nghệ An	53.4	12.2	34.4
5	Hà Tĩnh	61.6	9.2	29.2
6	Quảng Bình	51.8	12.8	35.4
7	Quảng Trị	52.9	9.4	37.7
8	Thừa Thiên Huế	54.9	12.6	32.5
	Average	56.06	12.74	31.20

**Table P7: The percentage of school-age children not attending school (%)**

No	Province/City	School-age children not attending school	Percentage% of the total samples	Ethnics	
				Kinh	Ethnic Minorities
1	Quảng Ninh	0	0	0	0
2	Hải Phòng	0	0	0	0
3	Thanh Hóa	0	0	0	0
4	Nghệ An	2	5%	2	0
5	Hà Tĩnh	2	5%	2	0
6	Quảng Bình	1	2%	0	1
7	Quảng Trị	5	10%	2	3
8	Thừa Thiên Huế	7	15%	7	0
	<b>Total</b>	<b>17</b>	<b>5%</b>	<b>13</b>	<b>4</b>

**Table P8: The cause of leaving primary and secondary school (pupil)**

No	Province/City	Causes of leaving school				
		Need to work for family	Too expensive costs of education	Poor learning	Schools too far	Difficult travel
1	Quảng Ninh	0	0	0	0	0
2	Hải Phòng	0	0	0	0	0
3	Thanh Hóa	0	0	0	0	0
4	Nghệ An	0	2	0	0	0
5	Hà Tĩnh	0	2	0	0	0
6	Quảng Bình	1	0	0	0	0
7	Quảng Trị	0	5	0	0	0
8	Thừa Thiên Huế	1	4	2	0	0
	<b>Total</b>	<b>2</b>	<b>13</b>	<b>2</b>	<b>0</b>	<b>0</b>

**Table P9: Water supply service of bathing, washing**

No	Province/City	Own water taps in the home	Public water taps	Wells	Rainwater tanks	Ponds and rivers	Other Sources
1	Quảng Ninh	2	0	30	0	0	0
2	Hải Phòng	5	4	24	1	0	0
3	Thanh Hóa	0	0	29	0	0	0
4	Nghệ An	2	2	28	12	0	0
5	Hà Tĩnh	1	0	33	3	0	0
6	Quảng Bình	0	0	46	0	0	1
7	Quảng Trị	2	0	46	2	0	0
8	Thừa Thiên Huế	6	7	10	0	16	9
<b>Total (households)</b>		<b>18</b>	<b>13</b>	<b>246</b>	<b>18</b>	<b>16</b>	<b>10</b>
<b>Percentage %</b>		<b>5.77</b>	<b>4.17</b>	<b>78.85</b>	<b>5.77</b>	<b>5.13</b>	<b>3.21</b>

By ethnic groups							
	Kinh group (households)	17	13	229	17	16	10
	Ethnic Minority (households)	1	0	17	1	0	0

**Table P10: Water supply for eating and drinking**

No	Province/City	Own water taps in the home	Public water taps	Wells	Rainwater tanks	Ponds and rivers	Other Sources
1	Quảng Ninh	2	0	15	15	0	0
2	Hải Phòng	4	4	13	13	0	0
3	Thanh Hóa	0	0	24	1	4	0
4	Nghệ An	2	2	12	27	0	1
5	Hà Tĩnh	2	1	11	23	0	0
6	Quảng Bình	0	0	41	5	0	1
7	Quảng Trị	2	0	46	2	0	0
8	Thừa Thiên Huế	6	7	14	8	4	9
<b>Total</b>		<b>18</b>	<b>14</b>	<b>176</b>	<b>94</b>	<b>8</b>	<b>11</b>
<b>Percentage</b>		5.8	4.5	56.4	30.1	2.6	3.5
<b>By ethnic groups</b>							
	Kinh group	17	14	164	92	4	11
	Ethnic Minority	1	0	12	3	3	0

**Table P11: Types of toilets (household)**

No	Province/City	No own toilet	The flush and semi-flush toilet	Two compartment toilet	Simple toilet (digging, one compartment)	Toilet on ponds, rivers	Other
1	Quảng Ninh	0	22	4	6	0	0
2	Hải Phòng	2	31	0	0	1	0
3	Thanh Hóa	3	11	12	0	3	0
4	Nghe An	3	18	12	8	0	3
5	Hà Tĩnh	2	16	15	0	4	0
6	Quảng Bình	0	14	32	1	0	0
7	Quảng Trị	2	33	2	12	1	0
8	Thừa Thiên Huế	0	36	1	10	0	1
<b>Total</b>		12	181	78	37	9	4
<b>Percentage %</b>		3.8	58.0	25.0	11.9	2.9	1.3
<b>By ethnics</b>							
	Kinh group	9	176	75	34	5	3
	Ethnic Minority	3	5	3	3	4	1

**Table P.12: The change of Factors during the past 3 years**

Factors	Quảng Ninh			Hải Phòng			Thanh Hóa			Nghệ An			Hà Tĩnh			Quảng Bình			Quảng Trị			Thừa Thiên Huế		
	Better	No change	worse	Better	No change	worse	Better	No change	worse	Better	No change	worse	Better	No change	worse	Better	No change	worse	Better	No change	worse	Better	No change	worse
Health station	28	3	1	29	3	2	29	0	0	44	0	0	26	8	3	45	2	0	26	23	1	25	19	4
Schools	30	2	0	31	2	1	28	1	0	44	0	0	25	10	2	14	32	1	31	16	3	30	18	0
Clean water	11	19	2	22	9	3	14	14	1	33	11	0	17	18	2	0	36	11	0	33	17	16	21	11
Drainage system	15	10	7	20	13	1	8	16	5	32	11	1	15	16	6	13	33	1	2	30	18	11	25	12
Electricity	25	7	0	30	4	0	23	6	0	39	4	1	27	7	3	41	6	0	34	15	1	21	26	1
Road	22	1	9	32	2	0	14	13	2	39	3	2	27	7	3	38	7	2	41	9	0	14	25	9
Bridge	22	2	8	20	6	8	16	9	4	29	9	6	25	9	3	30	9	8	33	11	6	15	20	13
Job chance	12	10	10	18	9	7	5	14	10	16	18	10	15	11	11	3	21	23	2	16	32	3	6	39
Borrowing ability	22	1	9	14	10	10	16	10	3	25	10	9	20	12	5	22	24	1	39	7	4	16	16	16
Extension service	19	10	3	13	9	12	4	12	13	19	11	14	19	11	7	16	29	2	22	19	9	10	23	15
Irrigation systems	19	12	1	13	12	9	8	18	3	15	18	11	19	10	8	4	36	7	14	17	19	12	24	12

Factors	Quảng Ninh			Hải Phòng			Thanh Hóa			Nghệ An			Hà Tĩnh			Quảng Bình			Quảng Trị			Thừa Thiên Huế		
	Better	No change	worse	Better	No change	worse	Better	No change	worse	Better	No change	worse	Better	No change	worse	Better	No change	worse	Better	No change	worse	Better	No change	worse
Natural resources	12	6	14	14	10	10	2	6	21	11	7	26	4	11	22	0	3	44	0	5	45	0	1	47
Natural environment	14	8	10	23	9	2	7	10	12	12	12	20	5	15	17	2	4	41	1	0	49	0	1	47
Social welfare	20	8	4	23	11	0	17	11	1	26	11	7	24	11	2	17	30	0	41	7	2	26	22	0
Toilet	20	9	3	22	11	1	17	12	0	21	21	2	10	23	4	9	37	1	30	19	1	20	25	3
Income	15	14	3	10	17	7	9	13	7	13	15	16	7	12	18	12	25	10	2	25	23	3	17	28

## **ANNEX 6: SUMMARY OF CONSULTATION RESULTS**

In August and September 2016, extensive consultations, prior consultations and consultations with adequate information about the project have been conducted by experts. The methods are implemented in accordance with local communities and affected ethnic minorities (EM). The concerns of vulnerable groups, especially the poor, landless, elder, women and children are highly considered.

**Consultation objectives:** (i) Information about the project, including: General information, the scope of the project, the components of the project, the main activities of the project, the positive impacts, the negative impacts and mitigation measures, plans of the project; (ii) The existing management situation of coastal forests and the consensus with the project guidelines on planting, restoring and protecting forests; (iii) People's current livelihood and propose effective livelihood activities; (iv) The rural infrastructure and silviculture need investment from the project, potential impacts; (v) Project support policies and compensation when there is affection, complaints mechanism; (vi) The existing demining situation in the project regions and areas should be reviewed before implementing project activities.

**Consultation targets:** People's Committee of Provinces and relevant Departments; People's Committee of Communes and relevant organizations; Households and groups of households including the poor, average, well-to-do, single women, EM; Protection forest management boards, Forest protection departments.

### **Contents and key issues during consultation:**

- Project information
- The current socio-economic situation, environment, the forest management and protection, problems need to be invested which are related to coastal forest management, livelihoods, rural infrastructure, issued problems, etc;
- The consensus and welcome from local people to the project; determine expected impacts to the socio-economy and environment of the project region.
- Individuals and organizations who are currently possessing and managing coastal forests, interests and conflicts between the parties that may occur during the project implementation, the proposed solutions.
- Current livelihoods activities of people and propose the effective ones; The rural infrastructure and silviculture need to be invested from the project, the impacts can occur; Project support policies and compensation to the affected people; The existing demining situation in the project regions and areas should be reviewed before implementing project activities.
- Problems may occur during the project implementation, such as land acquisition, land clearance, resettlement, environment, etc.
- The impacts on EM communities, vulnerable groups such as the poor, the landless, elder, women and children.

## The summary of the consultations

No	Provinces, districts	Components	Consulta - tion date
<b>I</b>	<b>Quang Ninh province</b>		
1	Consultation with Department of Agriculture and Rural Development, People's Committee of Tien Yen district and Mong Cai City.		17and 18/8/2016
<ul style="list-style-type: none"> <li>- Hoang Cang Dang: Deputy Director of Department of Agriculture and Rural Development</li> <li>- Bui Xuan Hien: Director of Vietnam-Germany afforestation project</li> <li>- Hoang Cong Dung: Department of Agriculture and Rural Development</li> <li>- Le Duc Thanh: Head of Natural Resources and Environment Division of Tien Yen</li> <li>- Nguyen Ngoc Dung: Deputy Head of Finance Division of Mong Cai People's Committee</li> <li>- Le Thanh Nhan: Women's Union President of Mong Cai</li> <li>- Nguyen Thi Kim Ngan: Women's Union, Tien Yen district</li> <li>- Vi Van Nam: Ethnic Division, Tien Yen district</li> <li>- Representatives from other related departments.</li> </ul> <p><b>Summary of the results:</b></p> <p><b>Department of Agriculture and Rural Development:</b></p> <ul style="list-style-type: none"> <li>- Most of the mangroves in Quang Ninh is still monitored by the town and the Protection Forest Management Board. The project proposes to re-allocate it to the community because the actual deployment showed effectiveness in Dong Rui town. Mangroves forest should not be assigned to individuals since conflicts are likely to occur between households.</li> <li>- The construction of rural infrastructure and forest protection proposed by the project do not lead to land acquisition and resettlement because they are built in available area and the construction scale is small. If there is land acquisition (garden or crops) during the project implementation, local government will encourage land donation from households.</li> <li>- The main income of people are from agriculture and fishery.</li> <li>- People are very welcome the project and look forward to its deployment because coastal and mangrove forests are especially important for them.</li> <li>- Saplings: Enterprises should be encouraged to saplings production since the project will buy it for afforestation. This can ensure the quality of saplings.</li> </ul> <p><b>Tien Yen district and Mong Cai city</b></p> <ul style="list-style-type: none"> <li>- Currently, local government has not assigned forests to communities for managing. If the project and the Government decide to do it, local People's Committee and people will be agreed.</li> <li>- Village 1 and village 2, Hai Tien town were the pioneers for reallocating forests to the communities during 2 years. Preliminary results show the effectiveness of the model since forests are well-developed</li> </ul>			



<p>and well-combined with seafood farming. The management and implementation are in accordance with the communities and regulations, Regulation Committee has been established.</p> <ul style="list-style-type: none"> <li>- The implemented models currently include: <ul style="list-style-type: none"> <li>+ Extensive shrimp farming and crab farming: However shrimp farming encountered risks, according to surveys, only 50% of households can get profits.</li> <li>+ Clams: High economic value, low risk but the output faces difficulties.</li> </ul> </li> <li>- It will be good if the project can support to people to develop livelihoods, however new models need to be carefully analyzed and trained before implemented.</li> <li>- The need for credit loan is very high due to the shortage of investments. The project is hopefully to provide credit at low interest rate for loans, thus people could invest to agricultural production.</li> <li>- The percentage of EM in the project region is not high, about 2,000 persons, mostly concentrated in Quang Nghia and Hai Hoa town, mainly Dao, Tay Hoa.</li> <li>- People are very welcomed the project and they look forward to its deployment.</li> </ul>			
2	Protection Forest Management Board of Mong Cai city, Quang Ninh province	Nguyen Danh Dang -Director of Protection Forest Management Board	18/8/2016
<ul style="list-style-type: none"> <li>- Currently the Protection Forest Management Board of Mong Cai is managing 1,293 ha of mangrove. If the project and the Government have plans to reallocate it to communities, the Management Board is willing to support and cooperate with people to ensure good forest protection.</li> <li>- Risks: After forests reallocating, people will use forest for other purposes. Therefore good announcement with rules and clear conventions are required.</li> <li>- Currently, funding from the province to forest protection and management is limited which is only 10% of the needed, the Management Board has to take care the rest of it. Although the forest area is large, human resources are rather limited. Thus it will be good if the project can provide funding support to local people for forest protection.</li> <li>- Impacts of the project: Create more jobs, increase income for local people.</li> <li>- The project is suggested to provide to the Protection Forest Management Board funding, patrol vehicles, sentry towers and message boards.</li> <li>- The Protection Forest Management Board is willing to share responsibility and experience as well as techniques to people about forest planting, monitoring and management.</li> </ul>			
3	Van Ninh and Dong Rui commune, Quang Ninh province		19/8/2016
<ul style="list-style-type: none"> <li>- Bui Xuan Truong: Vice Chairman of Van Ninh commune People's Committee</li> <li>- Vu Hoang Tuan: Officer of Van Ninh commune People's Committee</li> <li>- Pham Thi Tan: Women's Union President of Van Ninh commune</li> <li>- Bui Van Tu: Village head</li> <li>- Pham Van Hai: Chairman of Dong Rui commune People's Committee</li> <li>- Kieu Van Nguyet: Farmers Association, Dong Rui commune</li> </ul>			

- Representatives from other related departments.

**Summary of results:**

- Van Ninh commune is currently managing only 80 ha of mangrove among 1,675 ha available. The rest is monitored by the Management Board. If the project and the Government plans to reallocate forest to communities, Van Ninh commune is willing to support.
- Being a poor commune, Van Ninh is lack of investments for rural and sivilculture infrastructures. Existing infrastructures have deteriorated much, including nursery and primary schools.
- Expected constructions in the project do not require land clearance and resettlement. If land acquisition is needed, the commune will encourage households to donate land. Experiences show that people in previous projects are willing to donate land for constructions.
- The current model of agriculture production in the commune is mainly aquaculture (shrimp, crab) and chicken, pigs breeding. However the output is not stable by depending on traders, thus the project is expected to develop to build a value chain for people.
- For Dong Rui commune, the livelihood of the people is mainly seafood exploitation under the forest canopy, sea ducks breeding and planting sweet potatoes in the sand. In addition there are several aquaculture projects to be planned. Dong Rui has ecotourism model. The mangroves here are protected by communities.
- Currently, people are lack of investment. The project is expected to provide credit at low interests for loan for people to invest in agriculture production.
- The percentage of ethnic minority households in the commune is very low (under 10). They marry local people.
- Single women having difficulties situation is about 26 persons, such as no permanent homes, diseases, etc. The project is expected to have policies to support them.
- People are willing to support the project.

4	Consultations with households in Van Ninh and Dong Rui commune	A total of 36 households, 19 in Van Ninh commune, 17 in Dong Rui commune	19 and 20/8/2016
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- People are agreed with the project about reallocating forest to the communities for planting, protecting and restoring purposes in which they can exploit fishery resources under canopy forest.
- The project is expected to support seedlings and technical training in aquaculture and horticulture as well as develop production and improve living conditions.
- Currently, there is shortages of classrooms for students, roads are deteriorated, many places do not even have good quality road. The project thus is expected to invest and reduce difficulties for people.
- Aqua productions are going on sale at very low prices, processing and preserving procedures are bad. The project is expected to help people on processing and preserving techniques as well as finding output for the products.
- If the infrastructure projects and rural silviculture construction must withdraw a small portion of land, the farmers are willing to donate land.
- People are in need of investment. It will be good if the project has a credit source to borrow at low interest for people.

<b>II</b>	<b>Nghe An province</b>		
1	Consultations with Department of Agriculture and Rural Development , Dien Chau district People's Committee		5 - 6/9/2016
<ul style="list-style-type: none"> <li>- Nguyen Tien Lam: Deputy Director of Department of Agriculture and Rural Development</li> <li>- Nguyen Khac Hai: Forest Protection Department</li> <li>- Nguyen Cong Son: Head of Protection Forest Management Boards of Nghi Loc</li> <li>- Phan Xuan Vinh: Vice Chairman of Dien Chau district People's Committee</li> <li>- Phan Thi Huong: Department of Agriculture and Rural Development Division, Dien Chau district</li> <li>- Dau Thi Nga: Women's Union, Dien Chau district</li> <li>- Representatives from other related departments.</li> </ul> <p><b>Summary of the results:</b></p> <ul style="list-style-type: none"> <li>- Nghe An is ready to receive the project and look forward for its implementation. High level of provincial officers and means will be assigned to the project. People are very happy.</li> <li>- For mangroves, they must be high and in good quality to live here. Coconut needs to be put in research to plant along the coast. Nghe An can ensure about seedlings since the province has more than 30 units to provide it.</li> <li>- After reallocating forest to the communities, if there is any misuse, the district will withdraw the forest and give it to others.</li> <li>- Currently, some areas having coastal tourism generate negative effects to the forests by reducing the forest areas. Solutions for this situation are being planning.</li> <li>- Livelihoods support for coastal areas from here has advantages: favorable natural conditions, good quality of lands, abundant human resources with youth. Livelihoods should be supported under three groups: To households and communities; To village; To community welfares.</li> <li>- Demining process: Should implement in new areas but not in current areas.</li> <li>- For infrastructure: Land clearance and resettlement process are not needed. Land clearance construction will not be selected.</li> </ul>			
2	Dien Ngoc and Dien Thanh commune, Nghe An province	Ho Thi Tam: Chairwoman of Dien Thanh Commune People's Committee  Nguyen Van Dung: Vice Chairman of Dien Ngoc Commune People's Committee	7/9/2016
<ul style="list-style-type: none"> <li>- Dien Thanh commune has 110 ha of coastal tourist areas to be planned, thus the forest area has been decreased. In protection forest area there is currently a number of households who use forest wrongly: They interwoven agricultural crops with forest trees.</li> <li>- People are willing to receive the project and agreed with the plan of reallocating forest to local community</li> </ul>			

<p>for managing and protecting purposes.</p> <ul style="list-style-type: none"><li>- Both communes are lack of classrooms for primary schools as well as roads and irrigation systems. Constructions do not require land clearance, resettlement and land acquisition.</li><li>- Appropriate policies for better forest protection and management are recommended to force people do not use forest for improper purposes.</li><li>- Clean vegetables models techniques are needed to increase incomes and ensure food safet for the communities.</li><li>- Investments are needed thus the project is expect to have credit funds with low interest loans.</li></ul>			
3	Consultation with households in Dien Ngoc and Dien Thanh commune, Nghe An province	A total of 52 households, 30 in Dien Ngoc commune, 22 in Dien Thanh commune	8/9/2016
<ul style="list-style-type: none"><li>- People are agreed with the project, with the plan of reallocating forest to the local communities to grow, restore and protect it, in which they can exploit aqua production in permission.</li><li>- The project is expected to provide support and training in processing and preserving seafood, as well as increasing the prices of the products.</li><li>- Both communes are lacking of classrooms for primary schools, in many places roads are deteriorated. People are looking forward to support from the project.</li><li>- People are willing to donate land (if needed) to implement the project, community supervision is required during the implementation to ensure the construction quality.</li><li>- There are sill a various number of households that are required to be supported: Poor people, single women, lacking-production-land households, etc. The project is expected to help those people. 2 communes do not have ethnic minority households.</li><li>- Investments are needed thus the project is expect to have credit funds with low interest loans.</li></ul>			
III	Thanh Hoa province		
1	Consultations with Department of Agriculture and Rural Development; Department of Forestry, Tinh Gia district People's Committee		9/9/2016
<ul style="list-style-type: none"><li>- Pham Chi Dung: Deputy Head of Forestry Department of Thanh Hoa</li><li>- Trinh Quoc Tuan: Senior Officer of Forestry Department of Thanh Hoa</li><li>- Le The Ky: Vice Chairman of Tinh Gia district People's Committee</li><li>- Mai Van Chau: Director of Agriculture Division, Tinh Gia district People's Committee</li><li>- Nguyen Thanh Phong: Deputy Head of the Protection Forest Management Board</li><li>- Luong Thi Nhung: Vice President of Women's Union of Tinh Gia district</li><li>- Representatives from other related departments.</li></ul> <p><b>Summary of the results:</b></p> <ul style="list-style-type: none"><li>- Thanh Hoa has 102 km of coastline and there are various number of provincial programs of afforestation, although they are in small scale due to the shortage of funding. People are willing to support the project and look forward to its implementation, however clear support mechanisms need to be clarified</li><li>- The coastal area of Thanh Hoa has very few of ethnic minorities. Support activities are still implemented</li></ul>			

<p>even though.</p> <ul style="list-style-type: none"> <li>- Currently, the province has a specific plan for the coastal area for aquaculture and tourism thus there will be no conflicts between groups, however inefficient aquaculture zones will be converted to planting.</li> <li>- The construction of rural infrastructure and service do not require land acquisition and resettlement, it will be implemented on available ground, in a small scale.</li> <li>- Clean vegetables models techniques are needed to increase incomes and ensure food safety for the communities.</li> <li>- At Hau Loc, people are using coastal line for boats mooring since the canals are too shallow to be accessible. The project is expected to invest for canals dredging, thus it will return coastal line for afforestation.</li> <li>- Seedlings: The province has prepared for the project.</li> <li>- Demining process should have been processed before the project because this region has left many landmines. Jica project has implemented in some areas but many places are in need to be considered.</li> <li>- Assessment and analyzed process on the socio-economy and environment should be implemented to propose mitigation measures.</li> </ul>			
2	Hai Ninh and Xuan Lam commune, Thanh Hoa province.	<p>Le Dinh Thang: Chairman of Hai Ninh Commune People's Committee</p> <p>Pham Duc Binh: Chairman of Xuan Lam Commune People's Committee</p> <p>Representatives from other related departments.</p>	10/9/2016
<ul style="list-style-type: none"> <li>- People are agreed with the project, with the plan of reallocating forest to the local communities to grow, restore and protect it.</li> <li>- Hai Ninh commune is a poor commune, there are more than 3 ha of mangrove and 8 ha of mudflats which currently are under of local government management. But people are willing to be assigned to management and reforestation stuffs. Casuarina forest has been reallocated to the community for management and exploitation.</li> <li>- The project is expected to provide support and training in processing and preserving seafood, as well as increasing the prices of the products.</li> <li>- Both communes are lacking of classrooms for primary schools, in many places roads are deteriorated. People are looking forward to support from the project. People are willing to donate land (if needed) to implement the project, community supervision is required during the implementation to ensure the construction quality.</li> <li>- There are still a various number of households that are required to be supported: Poor people, single women, lacking-production-land households, etc. The project is expected to help those people. 2 communes do not have ethnic minority households.</li> <li>- Investments are needed thus the project is expected to have credit funds with low interest loans.</li> </ul>			
<b>IV</b>	<b>Ha Tinh province</b>		
1	Consultations with Department of Agriculture and Rural Development, Forest		12/9/2016

	Protection Management Boards, Thanh Ha district People's Committee		
	<ul style="list-style-type: none"> <li>- Nguyen Ba Thinh: Deputy Director of Department of Agriculture and Rural Development</li> <li>- Nguyen Xuan Hoan: ODA Deputy Chief Management</li> <li>- Nguyen Ngoc Lam: Deputy Director of Protection Forest Management Board of Ha Tinh</li> <li>- Nguyen Viet Ninh: Director of Ke Gio Nature Reserve Center</li> <li>- Nguyen Van Sau: Head of Agriculture Division, Thach Ha district People's Committee</li> <li>- Nguyen Thi Kieu Huong: Women's Unision of Thach Ha district</li> <li>- Representatives from other related departments.</li> </ul> <p><b>Summary of the results:</b></p> <ul style="list-style-type: none"> <li>- For sustainable forest management: There must have forest owners. The province will promote the forest reallocation to the community. A plan to manage and protect also are needed.</li> <li>- Seedlings: Seedlings must adapt for each area with different types of soils, a plan to ensure the quality is needed.</li> <li>- To protect forests effectively, funding must be increased to allocate to people and raise their awareness as well as support them with good infrastructure and livelihood patterns.</li> <li>- About the environment: After the Formosa incident, the province will not allow any other incident which is harmful to the environment to occur. People will be encouraged to monitor and manage the environment.</li> <li>- About people supporting: Understanding the real need of people is required thus there should have experts to examine and propose appropriate livelihood patterns.</li> <li>- People are agreed with the project, with the plan of reallocating forest to the local communities to grow, restore and protect it.</li> <li>- Livelihoods: The province has nearly 11,000 models of different agricultural livelihoods. Appropriate models should have been choose during the project. There will be no land acquisition and resettlement.</li> <li>- There will be no conflicts between the parties if good plans and proper processes are implemented.</li> <li>- Demining process should have been processed before the project because this region has left many landmines.</li> <li>- Coastal climate is very extreme, windy storms occur frequently thus the funding level of reforestation needs to be increased in order to implement the planting, restoring and protecting process.</li> </ul>		
2	Ho Do and Cam Linh commune, Ha Tinh province	Phan Dinh Hinh: Chairman of Ho Do commune People's Committee Tran Dinh Lam: Chairman of Cam Linh commune People's Committee Tran Van Huu: Commune Party Committee Secretary	13/9/2016
	<ul style="list-style-type: none"> <li>- Ho Do commune has totally 60.23 ha of mangrove, this is the best commune of Ha Tinh in terms of mangrove protection. Mangroves are important over here, namely: Being green walls to protect people against sea waves, wind storms; seafood resources and an aquatic life under the forest canopy.</li> </ul>		

<ul style="list-style-type: none"><li>- Commune Forest protection: The commune has built a convention in villages, who violates will be punished and the discover will be rewarded. The mangroves here are beautiful thus the project is expected to invest to the eco-tourism activities.</li><li>- Do Ho commune has 15 ha for forest planting, seedlings should be in place.</li><li>- Consensus: The commune and people are looking forward to the project.</li><li>- Suggest to the project to invest in infrastructure, especially home during storms, in silviculture infrastructure to protect forests.</li><li>- Cam Linh commune has 4 ha where it was forested. It is currently assigned to the community to manage and protect. Each village has selected 20 experienced households to participate in forest protection. However funding is limited thus the people are all volunteers. In the other hand, Cam Linh has 31 ha of areas which can be afforested, but appropriate analyzing needs to be done.</li><li>- The construction of rural infrastructure and service works on forest protection do not require land acquisition and resettlement. They will be made on the available grounds, in small-scale.</li><li>- Demining processes are not required because the areas has been reviewed before.</li></ul>			
3	Consultation with households in Ho Do and Cam Linh commune, Ha Tinh province	A total of 48 households, 21 in Ho Do commune, 27 in Cam Linh commune	14/9/2016
<ul style="list-style-type: none"><li>- People are agreed with the project, with the plan of reallocating forest to the local communities to grow, restore and protect it.</li><li>- There was a reforestation plan 10 years ago but it ended without funding for forest protection, therefore the forest areas have been reduced. Lesson-learn must be drawn in this regard.</li><li>- Both communes are lacking of classrooms for primary schools, in many places roads are deteriorated. People are looking forward to support from the project. People are willing to donate land (if needed) to implement the project, community supervision is required during the implementation to ensure the construction quality.</li><li>- There are sill a various number of households that are required to be supported: Poor people, single women, lacking-production-land households, etc. The project is expected to help those people.</li><li>- Investments are needed thus the project is expect to have credit funds with low interest loans.</li><li>- Investigation in each area needs to be done to select appropriate plants which can adapt to the climatic conditions.</li><li>- The seafood models here are very consistent. The project is expected to support livestock breeders to help people improving their lives.</li></ul>			
V	Thua Thien Hue province		Date
1	Consultations with Department of Agriculture and Rural Development, Forest Protection Department, Forest Protection Funding Association, Quang Dien district People's Committee		6/9/2016
<ul style="list-style-type: none"><li>- Pham Ngoc Dung: Deputy Head of Forest Protection Department of Thua Thien Hue</li><li>- Nguyen Duc Huy: Forest Protection Department of Thua Thien Hue</li></ul>			

- Tran Van Lap: Director of Protection Forest Management Board of Bac Hai Van
- Ha Van Tuan: Vice Chairman of Quang Dien district People's Committee
- Pham Canh Nguu: Farmer association, Quang Dinh district
- Representatives from other related departments.

#### **Summary of the results:**

- Thua Thien Hue has mainly sand forests and hilly forests. Mangroves forests exists only in the mudflats. Native trees are planted on hill (mountain area to the sea). Crops cultivation requires higher techniques than the mangroves trees.
- Livelihood issues: Agro-forestry model livestock under the forest canopy, eco-tourism model based on lagoon (Tam Giang, Cau Hai).
- People are agreed with the project, with the plan of reallocating forest to the local communities to grow, restore and protect it.
- Quang Dien district has more than 8.5 km of coastline, sandy area is large, the annual volume of sand blow in 2 communes Quang Cong and Quang Ngan is big. To resist this phenomenon and develop protection forests, in recent years, the local government encouraged people planting trees on the coastal lands. Farmers in 2 communes have planted about 65 ha of forest on this sandy coastal area. Forests help to reduce the amount of sand blow every year and ensure the security for people of Quang Dien district.
- The province is always ready to receive this project and look forwards its implementation. Provincial officers and means will be assigned to implement the project. People are happy with the project.
- There will be no land acquisition and resettlement during the project. The coastal area has very poor transportation infrastructure thus it will need about 45 km of silviculture road to patrol and guard the forest.
- Gender issues: Most of the afforestation is undertaken by women (60-65%).
- The project region has no EM, but refinement will be conducted.
- After reallocating forests to the community for management, if there is any misuses, the local government will take forests back and handle to others.
- Demining problem: There is a Norwegian project implementing in Phong Dien district. Other districts should conduct reviews in the new growing areas.

2	Phu Loc town, Thua Thien Hue province	7/9/2016
<ul style="list-style-type: none"> <li>- Forests in Phu Loc include coastal protection forests, mangrove forests and hilly forests. The hilly forests have been recovered and can be exploited (acacia, casuarina, etc). Mangroves forests are mostly apiculata.</li> <li>- Currently people livelihoods are mainly exploiting and aquaculture. People have understood the benefits from mangroves forest thus they want to restore it to for environment protection, ecological restoration and fishery resources.</li> <li>- The expectations of local government is now dispersing plants to develop eco-tourism.</li> <li>- Investment on silviculture road to Hoi Mit residential area, An Cu about 1-1.4 km.</li> <li>- For protection forest of the North Hai Van, 01 watch tower is needed a long with 100 ha of afforestation and 500 ha of restoration.</li> </ul>		
3	Quang Cong and Lang Co commune, Thua Thien Hue province	8/9/2016



- In Quang Cong commune, protection forests are mainly casuarina and acacia, they are planted to resist sand blow to develop production and fishing. Mangroves are difficult to plant over here due to deep water and high cultivation costs. Protection forests are assigned to the community for management and protection purpose. After 10 years forests will be exploited and people can use around 30%.
- In Lang Co commune, mangroves are mainly in the mudflats in the east. Afforestation in this area is difficult, new construction is required. In the West, breakwater is needed.
- Quang Cong and Lang Co has currently 40 ha of forests and 200 ha will be afforested.
- People are agreed with the project, with the plan of reallocating forest to the local communities.
- Both communes are lacking of classrooms for primary schools and roads as well as irrigation systems. There will be no land acquisition and resettlement during the project.
- People are willing to donate land (if needed) to implement the project, community supervision is required during the implementation to ensure the construction quality.
- The project should implement appropriate policies for protecting forests from misuse purposes.
- Investments are needed thus the project is expect to have credit funds with low interest loans.
- Both communes have no EM.

VI	Quang Tri province	Date
1	Consultations with Department of Agriculture and Rural Development, Forest Protection Department, Forest Protection Management Boards of Thach Han river and Ben Hai river, Gio Linh district People's Committee.	9/9/2016
<ul style="list-style-type: none"> <li>- Khong Trung: Head of Forest Protection Department of Quang Tri</li> <li>- Doan Viet Cong: Deputy Head of Forest Protection Department of Quang Tri</li> <li>- Le Thi Huong: Senior officer of Department of Agriculture and Rural Development</li> <li>- Phan Thi Mo: Natual Resources and Environment Division, Gio Linh district</li> <li>- Tran Thi Cuc: President of Women's Union of Gio Linh</li> <li>- Nguyen Van Thuc: Agriculture and Rural Development Division of Gio Linh district</li> <li>- Representatives from other related departments.</li> </ul> <p><b>Summary of the results:</b></p> <ul style="list-style-type: none"> <li>- Quang Tri has over 31,000 ha of sand, including 8,000 ha of inland sand which are mainly concentrated in Vinh Linh, Gio Linh, Trieu Phong and Hai Lang district. To improve the environment, since 1993, through programs and projects on coastal areas, Quang Tri has established more than 7,000 ha of forest protection and 10,000 ha of production forests.</li> <li>- Currently, the province has 3,000 ha of barren sand which are not yet to be greened by afforestation project. The main reason is lacking investment funding, some people do not appreciate the role of forests over sand.</li> <li>- Due to the steep terrain and the components which are mainly sandy soil, Quang Tri is not suitable for mangrove development, there is only a small area of mangrove in estuaries.</li> <li>- People livelihoods are mainly fishing and livestock. Some other models include beekeeping which is around 300-500 barrels in terms of scale. In addition, the province has salamanders model but it is only in</li> </ul>		

<p>the testing stage.</p> <ul style="list-style-type: none"> <li>- Seedlings garden: The province has many gardens for seedlings, mainly by households. Currently there are 23 gardens with good quality standards, licensed by local governments.</li> <li>- Currently protection forests have not been assigned yet to the communities for management purpose yet but the local government has a plan to do it.</li> <li>- Difficulties in local afforestation: Soil are mainly mobile dunes, semi-submerged and submerged which are very difficult to plant. For protection forests, casuarina forests are allocated to the communities for managing but there is no financial support for the people. Also, the exploitation does not give much income.</li> <li>- Experiences from previous projects show that in the end of the project, forests were being assigned to local communities for management but there is problem of financial support thus forests do not have enough protection.</li> <li>- Demining process: There are many projects which performed this process.</li> <li>- There will be no land acquisition and resettlement during the project.</li> <li>- Local government and people are ready to receive the project and they are agreed with the project guidelines.</li> </ul>			
2	Consultations with Trung Giang and Gio My commune, Quang Tri province	<p>Tran Xuan Tuong: Chairman of Trung Giang commune People's Committee</p> <p>Nguyen Dinh Do: Gio My commune People's Committee</p>	9/9/2016
<ul style="list-style-type: none"> <li>- The local government is agreed with the project guidelines of reallocating forests to the communities for managing. Currently, forests are assigned to villages and funding are provided by the commune.</li> <li>- The main livelihood models are agro-forestry and mallard breeding.</li> <li>- Infrastructure: Water systems are expected to be supported by the project. Land acquisition and land clearance are not required.</li> <li>- There are still a various number of households that are required to be supported: Poor people, single women, lacking-production-land households. There is no EM in both communes.</li> <li>- Investments are needed thus the project is expected to have credit funds with low interest loans.</li> <li>- Agricultural and fishery products are at low prices, processing and preserving procedures are bad. The project is expected to support on processing and preserving techniques, as well as providing outputs for the products.</li> <li>- The project will create more jobs and increase income for local people.</li> </ul>			
3	Consultations with Trung Giang and Gio My commune households, Quang Tri province	A total of 50 households, 26 in Trung Giang commune, 24 in Gio My commune	10/9/2016
<ul style="list-style-type: none"> <li>- People are agreed with the project and the policy of reallocating forests to the communities for management, restoration and protection purposes. However, appropriate policies with reasonable assistance need to be provided to people to assure their responsibilities.</li> <li>- Currently, the communes are lack of water supply systems and classrooms for primary schools. People</li> </ul>			

expect that the project and the government will support them to reduce their difficulties. The constructions do not need land acquisition. However, people are willing to contribute their land if needed.

- There are still a various number of households that are required to be supported: Poor people, single women, lacking-production-land households, etc. The project is expected to help those people.
- Investments are needed thus the project is expected to have credit funds with low interest loans.
- Agricultural and fishery products are at low prices, processing and preserving procedures are bad. The project is expected to support on processing and preserving techniques, as well as providing outputs for the products.

VII	Quang Binh province	Date
1	Consultations with Department of Agriculture and Rural Development, Forest Protection Department of Quang Binh, Quang Ninh district People's Committee	12/9/2016

- Nham Thanh Duy: Department of Agriculture and Rural Development
- Luu Duc Kien: Deputy Head of Forests Department of Quang Binh
- Nguyen Van Hue: Forests Department of Quang Binh
- Nguyen Viet Anh: Chairman of Quang Ninh district People's Committee
- Nguyen Thi T Tam: Vice President of Women's Union of Quang Ninh district
- Representatives from other related departments.

#### **Summary of the results:**

- Quang Binh has a total of 174,482 ha of protection forests to be planned, so far until now 149,564 ha is under management and protection, which is about 23% of the forest land over the province.
- Forests in sand: Casuarina, Acacia. Forests in sand gives low productivity and economic value thus to develop the forests sustainably, people need to be supported.
- Mangroves forests in Quang Ninh district have hundred of years old, some can reach over 20 years. Currently there is only one household can grow trees from local seedlings.
- Previously, protection forests are under management of forest enterprises thus it is lack of coordination with the local government and illegal exploitations occur frequently. Since the new policy is applied, forests management require the participation of all political systems in which the Protection Forest Department is the core. With the this model, forests are well-protected and strengthen.
- Quang Ninh district: Planting, protecting and forest fire preventing are being focused. The whole district plant 1,183 ha, assign 2,836 ha to 728 households and 4 villages, reallocate land and land use to 525 households for regeneration, protection and afforestation.
- The forest reallocation to local communities is expected to be successful because human resources are available in the province, the only concern is about funding to pay.
- Local livelihoods model:
  - + Agro-forestry model brings high economic value: Pig, chicken, fish, ducks breeding etc. Crops: Grass, watermelon (total of 70 ha), maize (18-24 tonnes/ha, total of 20 ha), sweet potatoes in sand (these products are the specialties of the province).
  - + Fish cages, shrimp farming in mangrove areas.

<ul style="list-style-type: none"> <li>+ Eco tourism, spiritual tourism.</li> <li>- Local government and the people are very supportive to the project and look forward to its implementation because coastal areas are very important to the environment and them.</li> <li>- The constructions do not need land acquisition and resettlement because they are build in the available grounds, in a small scales. In average, each commune should have a silvicultural road of &lt;5 km in length.</li> <li>- There is no EM in the project region. They live in the mountainous area outside the project commune.</li> </ul>		
2	Consultations with Gia Ninh and Hien Ninh commune, Quang Binh province	13/9/2016
<ul style="list-style-type: none"> <li>- People are very welcomed the project and agreed with the policy of reallocating forests to local communities for management and protection purposes.</li> <li>- Hien Ninh commune has 8 villages including 5 riverside villages with mangroves, the People's Committee has allocated forests to local villages, thereby people are very supportive to the forests management and protection.</li> <li>- Long Dai, Hien Ninh commune has 30 ha of mangroves but until now due to erosion, this area has left only 20 ha (the total area of Hien Ninh commune is about 50 ha). Funding are mainly taken from the reserved fund of the local government (human resources are mainly from communal militia).</li> <li>- Both communes are lacking of classrooms for primary schools and roads as well as irrigation systems. There will be no land acquisition and resettlement during the project.</li> <li>- Support to build silviculture roads and embankments in Thuan Bac and Thuan Dong</li> <li>- Livelihoods: <ul style="list-style-type: none"> <li>+ People are in need of built watermelon value chain, maize and training courses to raise aware ness of the communities about afforestation and forest protection.</li> <li>+ Under the forest canopy, incense can be planted because this can live in drought and do not need a lot of sunshine. This is planted to serve the Lunar new year because there is no output and cultivation funding.</li> <li>+ Currently, 50% of the growing depends on natural water, there is no irrigation systems of the government. Productivity thus is being affected.</li> </ul> </li> <li>- Investments are needed thus the project is expect to have credit funds with low interest loans.</li> <li>- There is no EM in both communes.</li> <li>- Afforestation difficulties: <ul style="list-style-type: none"> <li>+ No funding for forest protection. Guards mainly are from polices with limited responsibilities.</li> <li>+ Cork forests grow fast but the trees are very weak to be fallen during hurricane season.</li> </ul> </li> <li>- The clean water issue is essential to local people. They do not have clean water to use due to the limitation in funding. People are using water from wells but it is alum and saline.</li> <li>- The urgent task is to restore mangroves forest in the eastern and northern village of Tan Hien and Dong Tru district to prevent erosion, protect farmland and houses.</li> </ul>		
<b>VIII</b>	<b>Hai Phong province</b>	
1	Consultations with Department of Agriculture and Rural Development, Forest Protection Department of Hai Phong, Do Son district People's	20/9/2016

	Committee	
	<ul style="list-style-type: none"> <li>- Luyen Cong Khanh: Deputy Head of Forest Protection Department of Hai Phong</li> <li>- Bui Xuan Chuyen: Head of Forest Protection Unit of Kien Thuy - Do Son</li> <li>- Cao Thi Hai Xuan: Deputy Head of Forest Protection Unit of Kien Thuy - Do Son</li> <li>- Phan Thi Phuong: Deputy Manager of Economy Division, Do Son district, Hai Phong</li> </ul> <p><b>Summary of the results:</b></p> <ul style="list-style-type: none"> <li>- Coastal forests are important to Hai Phong because the province has to suffer 3 to 5 hurricanes annually (the national average is about 6 to 7 hurricanes/year), causing tremendous damage to dykes systems and the population.</li> <li>- The entire forest area and coastal forest land of Hai Phong are being managed by the commune People's Committee. It annually allocates forests to some following organizations to manage, such as: the Red Cross, military, the community households. Funding resources are from the city's budget (200,000 vnd/ha/year).</li> <li>- The importance of forests: The capacity of dykes protection against waves and sand blow to ensure coastal people's lives, improve the environment ecology, limit sea pollution and accelerate the expansion of tidal sedimentation and aquatic breeding grounds.</li> <li>- The livelihoods include farming, fishing, ecotourism activities, grazing livestock, waterfowl, beekeeping, etc</li> <li>- The province and people are welcomed the project and look forward its implementation because the coastal forests are very important to the environment.</li> <li>- The constructions of the project do not need land acquisition and resettlement because they are build in the available grounds, in small scales.</li> <li>- There is no EM living in the project region.</li> <li>- Demining process: There are many projects which performed this process.</li> </ul>	
2	Consultations with Bang La commune, Do Son district, Hai Phong province	20/9/2016
	<ul style="list-style-type: none"> <li>- Bang La commune has currently 360 ha of mangrove forest. It had been planted in 1993 but being destroyed before afforestating in 1998 by the project of the Japanese Red Cross. From 1998 to 2005, forests have been grown steadily including afforestation and forest enrichment.</li> <li>- Currently the afforestation area is about 1,200 ha. Plantation land has mainly sand and mud thus afforestation encounters difficulties. In addition, protection measures against waves and wind are required.</li> <li>- Forests protection are being assigned to the forest protection groups.</li> <li>- Local livelihoods are mainly beekeeping and fishing under the canopy as well as developing eco-tourism. In addition, there are local specialties such as apples and tomatoes, farmers are in need of support to build their brand.</li> <li>- Infrastructure: The project is expected to support for the dredging, equip more boats, personal protective stuffs to protect forests. Build 02 watchtowers and apartments for forest protection groups. Also, the commune is in need to build a place for cultural activities.</li> <li>- Investments are needed thus the project is expect to have credit funds with low interest loans.</li> </ul>	

3	Consultations with Dai Hop commune, Kien Thuy district, Hai Phong province	20/9/2016
<ul style="list-style-type: none"> <li>- Afforestation is effective since 1998 by the Japanese Red Cross. Afforestation and forest management are allocated to households and security organizations thus forests are well developed.</li> <li>- Mangroves forests have mainly rhizophora and apiculata.</li> <li>- The main livelihood models are: Agriculture, exploitation and aquaculture with a total average income of 31 million vnd/year/person.</li> <li>- Investment categories needed: <ul style="list-style-type: none"> <li>+ 01 fishing port</li> <li>+ 03 watchtowers, 01 school</li> <li>+ Dredge the creek and build silviculture roads.</li> <li>+ Build a silviculture road of 2.5 km in length to avoid flooding and increase the protection, exploitation and fishing productivity.</li> </ul> </li> <li>- The constructions do not need land acquisition or land compensation. There is no EM living in the project area.</li> </ul>		

# ANNEX 7: SUMMARY OF CAPABILITY ASSESSMENT OF SOCIAL SAFEGUARDS AT PROJECT PROVINCES

No	Question	Answer from province								Quantity		
		Quảng Ninh	Hải Phòng	Thanh Hóa	Nghệ An	Hà Tĩnh	Quảng Bình	Quảng Trị	TT. Huế	No	Yes	No answer
1	Are there staff of implementing agencies with experience in screening and determining the size of ODA projects for environmental assessment and / or society yet?	1	1	0	1	1	0	1	1	2	6	0
2	In opinion of the implementing agency, they don't need to support screening, determine the scale of the environmental impact and / or social and preparing terms of reference, selection of consultants environmental assessment and monitoring develop research closely?	1	1	1	0	1	1	1	1	1	7	0
3	Do the implementing agencies have experience in assessing social, and preparation of resettlement planning framework on the basis of findings for ODA projects?	0	1	0	1	1	1	1	1	2	6	0
4	Do the implementing agencies have experience in carrying out technical studies required for the preparation of the resettlement plan for ODA projects?	0	1	0	1	1	0	1	1	3	5	0

No	Question	Answer from province								Quantity		
		Quảng Ninh	Hải Phòng	Thanh Hóa	Nghệ An	Hà Tĩnh	Quảng Bình	Quảng Trị	TT. Huế	No	Yes	No answer
5	Do the implementing agencies have experience with the design and implementation of resettlement activities to ensure coordination of competent authorities required for the completion of the international standards for ODA projects?	1	1	0	1	1	0	1	1	2	6	0
6	List any other relevant issues related to the capacity of the agency for works related to safety?	1	1				1			0	3	5



## ANNEX 8: LIST OF PEOPLES AND AGENCIES WERE CONSULTED

NO .	NAME	POSITION	OFFICE, COMMUNE
<b>Department of Agriculture and Rural Development of Quang Ninh province</b>			
1	Bùi Xuân Hiễn	Project Director	Vietnam-Germany forest plantation project
2	Hoàng Công Dũng	Vice Director	DARD of Quang Ninh province
3	Lý Văn Thắng	Project Vice Director	Vietnam-Germany forest plantation project
4	Trịnh Viết Khiên	Staff	Vietnam-Germany forest plantation project
5	Nguyễn Văn Vọng	Head	Planning Division, DARD off Quang Ninh
<b>People's Committee of Mong Cai City, Quang Ninh province</b>			
1	Nguyễn Ngọc Dũng	Vice head	Finance and Planning Division, People's Committee of Mong Cai City
2	Bùi Văn Đăng	Vice Chairman	Farmers Association of Mong Cai City
3	Lê Thanh Nhân	Chairman	Women Union of Mong Cai City
4	Trần Tiến Đạt	Vice head	Finance Division, PC of Mong Cai City
5	Nguyễn Danh Đức	Technical Staff	Projection Forest Management Board
<b>Commune People's Committee of Van Ninh , Mong Cai city, Quang Ninh province</b>			
1	Bùi Xuân Trường	Chairman	Commune People's Committee of Van Ninh
2	Trần Văn Canh	Vice Chairman	Commune People's Committee of Van Ninh
3	Vũ Hoàng Tuấn	Agricultural extension officer	Commune People's Committee of Van Ninh
4	Vũ Thị Anh Vân	Social and Cultural officer	Commune People's Committee of Van Ninh
5	Đỗ Quyết Thắng	Chairman	Red Cross Union of Van Ninh commune
6	Bùi Văn Cộng	Administrative officer	Commune People's Committee of Van Ninh
7	Phạm Thị Tấn	Chairman	Women Union of Van Ninh commune

8	Phạm Thị Sinh	Head of Sub-branch	Women Branch of Bac hamlet, Van Ninh commune
9	Bùi Văn Tứ	Head	Nam hamlet, Van Ninh commune
<b>District People's Committee of Tien Yen, Quang Ninh province</b>			
1	Lê Đức Thành	Head	Natural Resources and Environment Division, Tien Yen Dist., Quang Ninh
2	Ng. Thị Kim Ngân	Officer	Women Union, Tien Yen district, Quang Ninh province
3	Vi Văn Nam	Officer	Ethnic Division, Tien Yen district, Quang Ninh province
4	Lê Văn Phật	Officer	Protection Forest Management Board, Tien Yen district, Quang Ninh province
5	Hoàng Văn Quang	Officer	Agricultural Division, Tien Yen district, Quang Ninh province
6	Lương Ái Phật	Vice Chairman	District People's Committee of Tien Yen, Quang Ninh province
<b>Commune People's Committee of Dong Rui, Tien Yen district, Quang Ninh</b>			
1	Phạm Văn Hải	Chairman	Commune People's Committee of Dong Rui, Tien Yen district
2	Nguyễn Quốc Trưởng	Vice Secretary	Party Committee of Dong Rui commune, Tien Yen district
3	Lục Văn Sênh	Chairman	People's Council of Dong Rui commune, Tien Yen district
4	Phạm Thị Oanh	Officer	Commune People's Committee of Dong Rui, Tien Yen district
5	Đoàn Quang Hưng	Justice Officer	Commune People's Committee of Dong Rui, Tien Yen district
6	Nguyễn Văn Măng	Chairman	Veterans' Organization, Dong Rui commune, Tien Yen district
7	Trịnh Đức Thiện	Military Officer	Dong Rui commune, Tien Yen district
8	Đoàn Quang Hải	Vice Chairman	People's Council of Dong Rui commune, Tien Yen district
9	Kiều Văn Nguyệt	Chairman	Farmers Association, Dong Rui commune, Tien Yen district

10	Lương Văn Dũng	Chairman	Fatherland Front of Dong Rui commune, Tien Yen district
<b>District People's Committee of Do Son, Hai Phong City</b>			
1	Luyện Công Khanh	Vice Director	Forest Protection Department
2	Bùi Xuân Chuyên	Head	Forest Protection Station of Kien Thuy - Do Son
3	Cao Thị Hải Xuân	Vice dead	Forest Protection Station of Kien Thuy - Do Son
4	Phan Thị Phụng	Vice head	Economic Division, Do Son district, Hai Phong City
<b>UBND phường Bằng La, Đồ Sơn, Hải Phòng</b>			
1	Cao Văn Bé	Chairman	Ward People's Committee of Bang La, Do Son district
2	Lê Văn Vạn	Officer	Ward People's Committee of Bang La, Do Son district
3	Nguyễn Đắc Hiếu	Chief of Residential Unit	Ward People's Committee of Bang La, Do Son district
<b>Department of Agricultural and Rural Development of Thanh Hoa province</b>			
1	Phạm Chí Dũng	Vice Director	Forestry Department of Thanh Hoa province
2	Trịnh Quốc Tuấn	Vice head	Forestry Department of Thanh Hoa province
3	Nguyễn Văn Đạt	Vice head	Technical Division, Forestry Department of Thanh Hoa province
<b>District People's Committee of Tinh Gia, Thanh Hóa</b>			
1	Lê Thế Kỳ	Vice chairman	District People's Committee of Tinh Gia
2	Lê Năng Lương	Head	Home Affairs Committee Division, District People's Committee of Tinh Gia
3	Mai Văn Châu	Head	Agricultural Division, District People's Committee of Tinh Gia
4	Nguyễn Thành Nhân	Vice head	Agricultural Division, District People's Committee of Tinh Gia
5	Nguyễn Thành Phòng	Vice director	Protection Forest Management Board
6	Lê Minh Chung	Vice Chairman	Farmers Association, Tinh Gia district

7	Lường Thị Nhung	Vice Chairman	Women' Union, Tinh Gia district
<b>Commune People's Committee of Hải Ninh, Tinh Gia district</b>			
1	Lê Đình Thắng	Vice Chairman	Commune People's Committee of Hải Ninh, Tinh Gia district
2	Lê Ngọc Ánh	Administrative Officer	Commune People's Committee of Hải Ninh, Tinh Gia district
3	Lê Dung Thu	Officer	Commune People's Committee of Hải Ninh, Tinh Gia district
<b>Commune People's Committee of Xuan Lam, Tinh Gia district</b>			
1	Phạm Đức Bình	Chairman	Commune People's Committee of Xuan Lam, Tinh Gia district
2	Nguyễn Bá Trí	Vice Chairman	Commune People's Committee of Xuan Lam, Tinh Gia district
3	Hoàng Xuân Đại	Agricultural Extension Officer	Commune People's Committee of Xuan Lam, Tinh Gia district
<b>Department of Agricultural and Rural Development of Ha Tinh province</b>			
1	Nguyễn Bá Thịnh	Director	Department of Agricultural and Rural Development of Ha Tinh province
2	Nguyễn Xuân Hoan	Phó ban QL ODA	ODA Project Management Board of Ha Tinh
3	Trần Văn Hùng	Head	Planning Division, DARD of Ha Tinh
4	Nguyễn Ngọc Lâm	Vice Director	Protection Forest Management Board of the South of Ha Tinh
5	Lê Văn Thông	Technical Officer ODA	ODA Project Management Board of Ha Tinh
6	Nguyễn Viết Ninh	Director	Ke Go Natural Reserve
7	Nguyễn Hồng Lĩnh	Officer	Forest Protection Department of Ha Tinh
<b>District People's Committee of Thạch Hà, Ha Tinh province</b>			
1	Nguyễn Văn Sáu	Head	Agriculture and Rural Development Division of Thạch Hà district, Ha Tinh province
2	Nguyễn Thị Kiều Hương	Chairman	Women Union of Thạch Hà district
3	Bùi Khắc Chính	Vice Chairman	Farmers Association, Thạch Hà district

4	Phan Thị Thương	Officer	Natural Resources and Environment Division, Thach Ha district
5	Phạm Văn Đồng	Vice Chief	The Office of District People's Committee of Thach Ha
<b>Department of Agricultural and Rural Development of Nghe An province</b>			
1	Nguyễn Tiến Lâm	Vice director	Department of Agricultural and Rural Development of Nghe An province
2	Nguyễn Khắc Hải	Officer	Forest Protection Department of Nghe An province
3	Nguyễn Công Sơn	Director	Nghi Loc Protection Forest Management Board
<b>District People's Committee of Dien Chau, Nghe An province</b>			
1	Phan Xuân Vinh	Vice Chairman	District People's Committee of Dien Chau, Nghe An province
2	Trần Văn Hiến	Chief	District People's Committee of Dien Chau, Nghe An province
3	Lê Thế Hiếu	Head	Agriculture and Rural Development Division of Dien Chau district, Nghe An province
4	Lê Minh Nguyên	Director	Dien Chau Forest Protection Station, Nghe An province
5	Hoàng Lân	Chairman	Farmers Association, Dien Chau district
6	Phan Thị Hương	Officer	Agriculture and Rural Development Division of Dien Chau district, Nghe An province
7	Đậu Thị Nga	Officer	Women Union, Dien Chau district
8	Hồ Thị Tâm	Chairman	Commune People's Committee of Dien Thanh, Dien Chau district, Nghe An province
9	Nguyễn Văn Dũng	Vice Chairman	Commune People's Committee of Dien Ngoc, Dien Chau district, Nghe An province
<b>Department of Agricultural and Rural Development of Quang Binh province</b>			
1	Lưu Đức Kiến	Vice director	Quảng Bình Forest department
2	Nguyễn Văn Huệ	Head	Technical Division, Forest Protection Department, Quang Binh province
3	Phạm Xuân Thành	Vice Head	Technical Division, Forest Protection Department, Quang Binh province

4	Nguyễn Văn Hồng	Officer	Technical Division, Forest Protection Department, Quang Binh province
5	Nham Thanh Duy	Vice Head	Finance and Planning Division, Department of Agricultural and Rural Development of Quang Binh province
6	Văn Anh Thuyết	Head	Phòng NNPTNT huyện Quảng Ninh, Quảng Bình
7	Châu Đình Nhiên	Officer	UBND huyện Quảng Ninh, Quảng Bình
8	Nguyễn Quốc Thụy	Director	BQL RPH Nam Quảng Bình
<b>District People's Committee of Quang Ninh, Quang Binh province</b>			
1	Nguyễn Viết Ánh	Chairman	District People's Committee of Quang Ninh, Quang Binh province
2	Văn Anh Thuyết	Head	Natural Resources and Environmental Division of Quang Ninh district, Quang Binh province
3	Bùi Văn Khảm	Head	Econimic Divison, Quang Ninh district, Quang Binh province
4	Đỗ Minh Cừ	Vice Chairman	Farmers Association, Quang Ninh district
5	Nguyễn Thị T Tâm	Vice Chairman	Women Union, Quang Ninh district
6	Lê Ngọc Huân	Chief	The Office of District People's Committee of Quang Ninh
7	Nguyễn Thị Hiêng	Officer	The Office of District People's Committee of Quang Ninh
8	Châu Văn Minh	Officer	Agriculture and Rural Development Division of Quang Ninh district, Quang Binh province
<b>Department of Agriculture and Rural Development of Quang Tri province</b>			
1	Khổng Trung	Director	Forest Protection Department, Quang Tri province
2	Đoàn Viết Công	Vice head	Forest Protection Department, Quang Tri province
3	Lê Chí Nghĩa	Vice head	Forest Protection Department, Quang Tri province
4	Võ Đặng Xuân Thọ	Official Staff	Forest Protection Department, Quang Tri province

5	Lê Thị Hương	Official Staff	Department of Agriculture and Rural Development of Quang Tri province
6	Nguyễn Minh Diễn	Head	The Centre for Agricultural and Rural Development Planning and Surveying
<b>District People's Committee of Gio Linh, Quang Tri province</b>			
1	Phan Thị Mơ	Officer	Natural Resources and Environmental Division of Gio Linh district, Quang Tri province
2	Trần Xuân Tường	Chairman	Commune People's Committee of Trung Giang, Gio Linh district
3	Trần Thị Cúc	Chairman	Women Union, Gio Linh district
4	Đào Công Hùng	Vice Chairman	Farmers Association, Gio Linh district
5	Nguyễn Đình Độ	Officer	Commune People's Committee of Cao My, Gio Linh district
6	Nguyễn Văn Thúc	Official Staff	Division of Agriculture and Rural Development, Gio Linh
7	Nguyễn Đức Hoạt	Vice Head	Division of Agriculture and Rural Development, Gio Linh
<b>Department of Agricultural and Rural Development of Thua Thien Hue province</b>			
1	Phạm Ngọc Dũng	Vice Director	Forest Protection Department, Thua Thien Hue province
2	Nguyễn Đức Huy	Vice Head	Forest Protection Department, Thua Thien Hue province
3	Trần Văn Lập	Director	Protection Forest Management Board of Bac Hai Van
<b>District People's Committee of Quang Dien, Thua Thien Hue province</b>			
1	Hà Văn Tuấn	Vice chairman	District People's Committee of Quang Dien
2	Phạm Cảnh Nguu	Chairman	Farmers Association, Quang Dien district
3	Trần Nguyễn Quốc Thanh	Forestry Officer	District People's Committee of Quang Dien
4	Trương Xàng	Vice Head	Forest Protection Station, Quang Dien district
5	Hoàng Quang Huy	Officer	The Office of Quang Dien District People's Committee





## ANNEX 9: QUESTIONNAIRE USING FOR SURVEY OF HOUSEHOLD

A1a. Full name of person answered:.....

A2a. Ethnic?.....

A3a. Village name: .....

A4a. Commune:.....

A5a. District: .....

A6a. Province: .....

A7a. Interview date: .....

A8a. Full name of the interviewer: .....

A9a. Living level classification of Household:

1. Rich	2. Upper Average	3. Average	4. Near Poor	5. Poor
---------	---------------------	------------	--------------	---------

### A. General information of households

[illegible]

## B. Education

B1. Currently, family has any person with aged 6-18 do not attend school?

1. yes, .....

2. No

————→ **Moving to D1**

B2. Why children aged 6-18 do not attend school ?

N o		Reason do not attend school						
		Need to work for family	Too expensive costs of education	Poor learnin g	School s too far	Difficult travel	Other	
1	1st child							
2	Second child							
3	Third child							
4								
5								

## D. Asset

### Land

D1Please says the family's land use at present (excluding residential) land:

No	Type of land	Area	1.2 Family land is granted / contracted	Land Status	Family land rented / borrowed / purchased from others	Land Status
1	Farmland					
2	Forestryland					
3	Lake/Pond					
4	Vacant Land / fallow					
5	Other land .....					

	<b>Total</b>					
--	--------------	--	--	--	--	--

\* 1000m<sup>2</sup>

### Housing and conditions

D2. What kind of the house where the family is living?

1. 2 floors up
2. Permanent house (one floor)
3. Semi-permanent house (Wooden house)
4. Temporary house
5. Other house .....

D3. Where family get drinking water and bathing water in the dry and wet season?

		Dry season	wet season
1	For Drinking		
2	For Bathing		

D4. What kind of toilet is family currently using?

1. There is no toilet for family
2. The flush and semi-flush toilet
3. The simple toilet
4. Toilet on ponds, rivers, streams, canals
5. Other toilet:.....

D5. Currently What is family using the main source of energy for lighting?

1. Oil
2. Electricity
3. Electric batteries, generators
4. Other.....

### Durable Equipment

E13. Family has what the durable goods?

No	Kind of goods	Quantity	No	Kind of goods	Quantity
1	Furniture		6	Phone	

2	Fridge		7	Motorcycles	
3	Electric fans		8	Computers	
4	Color TV		9	Other	
5	Radio cassette		10		

## E. Productive operations

### Crop

E1. In the past 12 months, has family cultivated on land which the family has the right to use?

1. Yes (fill in the table below)    2. No    **→ Moving to E4**

TT	Main crops	a. The cultivated area in the last 12 months (1000m <sup>2</sup> )	b. Crop yields in the last 12 months
1	Rice		Kg
2	Corn, cassava		Kg
3	Vegetables		Kg
4	Beans		Kg
5	pepper		Kg
6	Melons		Kg
7			Kg
8			Kg

### Livestock

E6. In the past 12 months, has family had to implemented livestock?

1. yes    2. No    **→ Moving E7**

T T	Kinds	Quantity
1		
2		
3		

4		
5		
6		
7		
8		

## F. Loan

F1. Currently does family have debt ?

1. Yes      2. No

~~Moving F4~~

1a. Amount .....dong

F2. Loan using for?

- |                |          |
|----------------|----------|
| 1. Agriculture | 6. Other |
| 2. Gardening   |          |
| 3. Livestock   |          |
| 4. fishing     |          |
| 5. Forestry    |          |

F3. Loan supplier and interest rate?

No	Loan supplier	Interest rate (%)
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

## G. Income

G1. What the income sources of the family in the last 12 months?

TT	Income sources	Amount (dong)	Family' income compared to the previous 2 years
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			

## H. General assessment

H1. According to him / her, the following factors in local changed how during the last 5 years?

TT	Factors	1 . Better	2 . No change	3 . Worse	4. Do not know
1	Health station				
2	Schools				
3	Clean water				
4	Drainage system				
5	Electricity				
6	Road				
7	Bridge				

8	Job chance				
9	Borrowing ability				
10	Extension service				
11	Irrigation systems				
12	Natural resources				
13	Natural environment				
14	Social welfare				
15	Toilet				
16	Income				
17					
18					



**ANNEX 10: Some photos of public consultation activities for preparation of the Resettlement Policy Framework**



**Meeting and consultation at Agricultural and Rural Development Department of Quang Ninh province**



**Meeting and consultation at the People's Committee of Dien Chau district (Nghe An)**



**Group discussion in Ha Ninh commune, Thanh Hoa province**



**Meeting and consultation at the People's Committee of Dien Chau district**





**Meeting and consultation at the Forest Protection Department of Quang Tri province**



**Interview of the local people**