

SOCIALIST REPUBLIC OF VIET NAM

MINISTRY OF AGRICULTURE AND RURAL DEVELOPMENT

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**PROPOSED MEKONG DELTA INTEGRATED CLIMATE RESILIENCE
AND SUSTAINABLE LIVELIHOODS PROJECT**

(MD-ICRSL)

ETHNIC MINORITY POLICY FRAMEWORK (EMPF)

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Abbreviations

CEMA	Committee for Ethnic Minority Affairs
CPMU	Central Project Management Unit
CPO	Central Project Office
DARD	Department of Agriculture and Rural Development
EMPF	Ethnic Minority Policy Framework
EMDP	Ethnic Minority Development Plan
EM	Ethnic Minority
ICMB	Investment and Construction Management Branch
MARD	Ministry of Agriculture and Rural Development
MoNRE	Ministry of Natural Resources and Environment
MoIT	Ministry of Industry and Trade
MoF	Ministry of Finance
MPI	Ministry of Planning and Investment
MoC	Ministry of Construction
ODA	Official Development Assistant
PC	People's Committee
PPMU	Province Project Management Unit

GLOSSARY

<i>Project impact</i>	Means positive and negative impacts on EMs caused by all project components. Adverse impacts are often consequences immediately related to the taking of a parcel of land or to restrictions in the use of legally designated parks or protected areas. People directly affected by land acquisition may lose their home, farmland, property, business, or other means of livelihood. In other words, they lose their ownership, occupancy, or use rights, because of land acquisition or restriction of access.
<i>Displaced (affected) people</i>	Refers to individuals or organizations that are directly affected socially and economically by Bank-assisted investment projects caused by the involuntary taking of land and other assets that results in (i) relocation or loss of shelter; (ii) loss of assets or access to assets; or (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location. The involuntary land acquisition includes the exercise of possession when the proprietor has allowed and benefited from others' occupation of the area. In addition, affected person is one for whom involuntary restriction of access to legally designated parks and protected areas that result in adverse impacts on livelihoods also.
<i>Indigenous People</i>	Equivalent to <i>ethnic minority people</i> in Viet Nam, refers to a distinct and vulnerable group with social and cultural characteristics in varying degrees as follows: (i) self-identification as members of a distinct indigenous cultural group and recognition of this identify by others; (ii) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; (iii) customary cultural, socio-economic ,or political institutions that are separate from those of the dominant society and culture; and (iv) an indigenous language, often different from the official language of the country or region.
<i>Vulnerable groups</i>	People who by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, or social status may be more adversely affected by resettlement than others and who may be limited in their ability to claim or take

advantage of resettlement assistance and related development benefits, include: (i) women headed household (single, widow, disabled husband) with dependents, (ii) disables (loss of working ability), the elderly alone, (iii) poor and near poor household, (iv) the landless, (v) ethnic minority groups and (vi) households policies.

Culturally appropriate Means having regard to all aspects of the cultures, and being sensitive to their dynamics.

Free, prior and informed consultation Refers to a culturally appropriate and collective decision-making process subsequent to meaningful and good faith consultation and informed participation regarding the preparation and implementation of the project. It does not constitute a veto right for individuals or groups.

Collective attachment Means that for generations there has been a physical presence in and economic ties to lands and territories traditionally owned, or customarily used or occupied, by the group concerned, including areas that hold special significance for it, such as sacred sites. “Collective attachment” also refers to the attachment of transhumant/nomadic groups to the territory they use on a seasonal or cyclical basis.

Customary rights to lands and resources Refers to patterns of long-standing community land and resource usage in accordance with Ethnic Minority Peoples’ customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State.

I. INTRODUCTION

1.1. Project overview

The Government of Vietnam and the World Bank is preparing the “Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods Project”. The Project Development Objective is to enhance tools for climate-smart planning, and improve climate resilience of land and water management practices in selected provinces of the Mekong Delta in Vietnam. The project will directly or indirectly benefit over one million people living in the three sub-regions: (a) the upper delta (An Giang, Dong Thap and Kien Giang); (b) the peninsula (Ca Mau, Bac Lieu and Kien Giang); and (c) the coastal estuary (Ben Tre, Tra Vinh and Soc Trang). Additional rural and urban households and agribusiness in upstream and downstream regions also directly or indirectly benefit from the project intervention.

The project is envisioned to be the first phase of a long-term World Bank engagement in the Mekong Delta to strengthen integrated climate resilient management and development, across different sectors and institutional levels. More specifically, it will support information systems, the institutional arrangements, and the roadmap for building regional and provincial-level planning capacity for sustainable Delta-wide development. In parallel, the Project will also seek opportunities for 'low regret' investments and scope out longer term development options to be financed under future phases. The project would comprise of a combination of structural and non-structural investments, and will be informed by the World Bank financed *Building Resilience in the Mekong Delta TA* (P149017). The Project is proposed to span a period of 6 years, with the financing of US\$ 376 million (\$300 m from IDA; \$76 m from GoV).

The project concept and approach builds up from the vision articulated in the Mekong Delta Plan developed by the Dutch, whereby the delta was viewed as different hydro-ecological zones cutting across provinces and sectors. During the scoping of the proposed project, the task team has placed heavy emphasis on coordination with other Bank projects, and those of other development partners. The five components proposed under the project are:

Component 1: Enhancing Monitoring, Analytics, and Information Systems (*Estimated US\$52 million, of which US\$47.5 million will be financed by IDA*). Putting the Mekong Delta on a more sustainable and resilient trajectory in the face of climate change, upstream Mekong basin development, and environmentally damaging practices within the Delta itself, will require investments in both infrastructure and the enhanced capacity to monitor, plan, and manage the Delta’s land and water resources. Component 1 provides the framework for ensuring the capacity to undertake “smart investments” and cope with anticipated wide-scale environmental changes.

Component 2: Managing Floods in the Upper Delta (*Est. US\$ 101 million, of which US\$ 79.1 million will be financed by IDA*). The primary objective of this component is to protect and/or reclaim the benefits of controlled flooding (flood retention) measures while increasing rural incomes and protecting high value assets in An Giang and Dong Thap provinces. This will potentially consist of: i) modifying water and agricultural infrastructure to allow for more

beneficial flooding (expanding flood retention capacity) in rural areas and offer new agricultural/aquaculture cropping alternatives; ii) providing livelihoods support measures to farmers so they have alternatives to the wet season rice crop, including aquaculture; iii) constructing/upgrading infrastructures for protecting select high value assets; and iv) facilitating agricultural water use efficiency in the dry season.

Component 3: Adapting to Salinity Transitions in the Delta Estuary (*Est. US\$ 109.1million, of which US\$ 82 million will be financed by IDA*). This component aims to address the challenges related to salinity intrusion, coastal erosion, sustainable aquaculture and improved livelihoods for communities living in the coastal areas of Ben Tre, Tra Vinh, and Soc Trang provinces. This will potentially consist of: i) construction of coastal defenses consisting of combinations of compacted earth embankments and coastal mangrove belts; ii) modification of water and agricultural infrastructure along the coastal zone to allow flexibility for sustainable aquaculture activities and adapt to changing salinity levels; iii) support to farmers to transition (where suitable) to more sustainable brackish water activities such as mangrove-shrimp, rice-shrimp, and other aquaculture activities; and iv) supporting climate smart agriculture by facilitating water use efficiency in the dry season.

Component 4: Protecting Coastal Areas in the Delta Peninsula (*Est. US\$ 101.4 million, of which US\$82.2 million will be financed by IDA*). This component aims to address the challenges related to coastal erosion, groundwater management, sustainable aquaculture, and improved livelihoods for communities living in the coastal and river mouth areas of Ca Mau and Kien Giang. This will potentially consist of: i) restoration of coastal mangrove belts and construction/ rehabilitation of coastal dikes in erosion areas; ii) modification of water control infrastructure along the coastal zone to allow flexibility for sustainable aquaculture activities; iv) control of groundwater abstraction for agricultural/aquaculture and development of freshwater supplies for domestic use; v) support to farmers to practice more sustainable brackish water activities such as mangrove-shrimp and other aquaculture activities; and vi) supporting climate smart agriculture by facilitating water use efficiency.

Component 5: (*Est. US\$ 12.1 million, of which US\$9.2 million will be financed by IDA*). Project Management and Implementation Support. This component will be split into project management support and capacity building for MONRE and MARD. This component is expected to provide incremental running costs and consultant and advisory services for overall project management, financial management, procurement, safeguards and monitoring and evaluation.

1.2. The ethnic minorities in the Project area

Mekong Delta is home of various ethnic groups, including the Kinh (90%), Khmer (8%), the Hoa (1.8%), the rest are Cham people and other smaller groups.

As indicated in Table 1, the total population of ethnic minorities in the Mekong delta in 2013 was 1,787,450 people among a total population of 17,445,900 (accounting for 10.2%), of which the number of Khmer is: 1,428,848 (79.94%), number of Hoa: 316,460 (17.66%), number of Cham and the remaining ethnic minorities: 42,140 (2.36%).

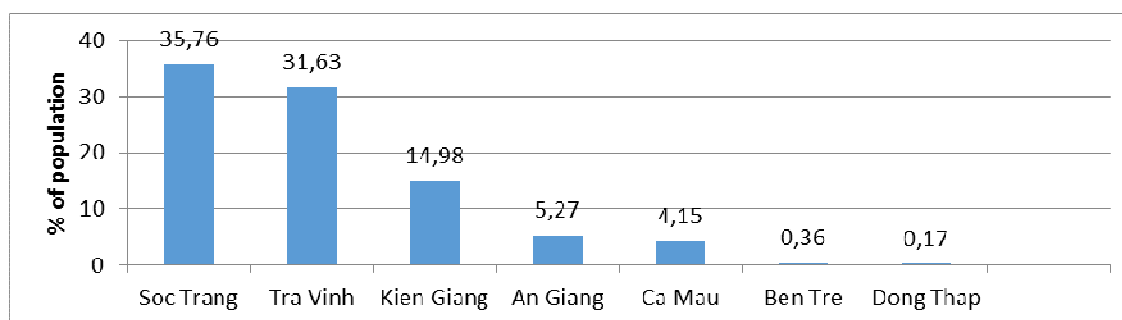
The distribution of ethnic minorities is unevenly distributed across the Mekong Delta Provinces. Within the project provinces, Soc Trang, Tra Vinh and Kien Giang have by far the largest populations of ethnic minorities. An Giang and Ca Mau have relatively small populations and Ben Tre and Dong Thap have negligible populations.

Table 1- Information on Ethnic Groups Situation in the Mekong Delta

No	Province	Population	Kinh	Ethnic Minorities			
				Khmer	Hoa	Cham and other Groups	Total of Ethnic Minorities
1	Long An	1.436.900	1.436.460	200	91	148	440
2	Tien Giang	1.703.400	1.698.189	243	4.933	36	5.211
3	Ben Tre	1.262.000	1.250.425	4.376	5.936	1.262	11.575
4	Tra Vinh	1.027.500	667.296	332.396	27.808	-	360.204
5	Vinh Long	1.040.500	1.011.706	76	6.035	22.683	28.794
6	Dong Thap	1.680.300	1.668.538	6.721	5.041	-	11.762
7	An Giang	2.155.300	2.043.883	84.164	13.916	13.337	111.417
8	Kien Giang	1.738.800	1.479.718	217.350	38.254	3.478	259.082
9	Can Tho	1.222.400	1.183.019	23.899	15.482	-	39.381
10	Hau Giang	773.800	746.329	18.417	8.822	232	27.471
11	Soc Trang	1.308.300	853.304	377.857	76.760	378	454.996
12	Bac Lieu	876.800	402.764	360.820	112.756	460	474.036
13	Ca Mau	1.219.900	1.216.819	2.329	626	125	3.081
	Total	17.445.900	15.658.450	1.428.848	316.460	42.140	1.787.450

(Source: Statistics of the provinces, 2013)

Figure 1. Ethnic minority population by province involved in the MD-ICRSL



The consultant group of VAWR, preparing the social safeguard instruments, has conducted consultation at provincial level, district level and commune level in all provinces in the

project area and also conducted the survey on social assessment for the first year subprojects. Results show that, there are 3 subprojects with important ethnic minorities population :

- Subproject on : Infrastructure to prevent coastal erosion and to support aquaculture production in An Minh and An Bien districts, Kien Giang province;
- Subproject on : Infrastructure to control spring tide and salinity to support agricultural activities and adapting to climate change in district of Cau Ke (Tra Vinh province), Tra On and Vung Liem (Vinh Long province);
- Subproject on: Infrastructure for production transition in accordance with ecological conditions, improving livelihoods, adaptation to climate change in Dung island (Soc Trang Province);

Only sub-projects in Kien Giang and Tra Vinh/Vinh Long belong to the first year sub-projects and therefore an EMDP will be prepared only for these two sub-projects.

The Khmer group lives along the coast and border areas in Kien Giang, An Giang, Tra Vinh, Bac Lieu, Soc Trang, and Ca Mau. Livelihoods of the Khmer in the delta are from agriculture, animal husbandry, handicraft making, and fishing. The Hoa (Chinese) live mainly in provincial urban areas and engage in trade. The Cham group live mainly in the border areas in An Giang province. Their livelihoods comprise agriculture and handicraft making, especially producing fabrics and silks. Among the three groups, the Khmer is the poorest and most vulnerable group, followed by the Cham while the Hoa have an equal standing with the Kinh.

The proportion of the poor households in the Mekong delta is 9.24 %, and ethnic minorities makes up nearly 60% over a total of the 198,576 poor households in the whole of area (report of the Committee on Ethnic Minority Affairs in 2012). The main poverty causes are lack of land for production, lack of job skills, ineffective fund using, loneliness, low level of literacy, old-fashioned customs. According to World Bank's Vietnam Poverty Assessment Report 2012, 48% of the poor in Mekong delta does not have land. This is especially the case for Khmer. The landlessness incidence is high among Khmer households in the Mekong Delta.

1.3. Objective of the EMPF

Based on the social assessment conducted, Indigenous People are present in two first year sub-projects areas, located in Tra Vinh and in Kien Giang. Therefore OP 4.10 on Indigenous Peoples is triggered. In addition only 4 sub-projects have been identified, for the first year, prior to appraisal. In the other sub-projects to be identified under the Project, there is the possibility that Indigenous People will be present. Therefore an Ethnic Minority Planning Framework (EMPF) needs to be prepared to guide preparation of Ethnic Minority Development Plans (EMDP), once their presence will be confirmed.

The main objective of the EMPF is to ensure that the development process fosters full respect for their dignity, human rights, cultural uniqueness and that ethnic minorities do not suffer adverse impact during the development process and they will receive culturally – compatible social and economic benefit.

The EMPF provides a framework for not only mitigate negative impacts, but ensure the EMs will benefit from the Project. This EMPF is also based on the free, prior an informed consultations with affected ethnic minority people. The EMPF ensures:

- (a) How to avoid potential adverse impacted ethnic minority communities; or
- (b) When potentially adverse impact on ethnic minority people are unavoidable, they will be minimized and mitigated or compensated; and
- (c) Ensure that EMs receive social and economic benefits in a culturally appropriate manner and inclusive in both gender and intergenerational terms, and obtain broad community support for the proposed sub – project.

This EMPF was prepared on the basis of a) the Regional Social Assessment (RSA); b) the social assessment prepared for each four first year subprojects; c) consultation with ethnic minority peoples present in the project areas (Please see Annex 1 of this document for consultation summary); and d) consultation with key project stakeholders, including Ministry of Agriculture and Rural Development, the Committee for Ethnic Minority Affairs, and the World Bank.

II. LEGAL AND POLICY FRAMEWORK

2.1. National Legal and Policy Framework for Ethnic Minority Peoples

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

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

The Government of Vietnam has developed a series of policies to develop, enhance socio-economic condition of ethnic minorities in the mountainous and remote regions. After the program 124 and phase 1 and phase 2 of the program 125 the government has launched phase 3 of program 135 to enhance socio-economic development in poor communes located in mountainous areas or areas inhabited by ethnic minorities. Besides the overall development program for ethnic minorities, the Government assigned the Committee for Ethnic Minorities Affairs to guide provinces to prepare projects Development Assistance for ethnic groups with

less than 1,000 people, i.e. Si La, Pu Peo, Ro Mam, Brau, O Du. The government also conducted Rapid and Sustainable Pro-poor Program in 61 poor districts, where many ethnic minorities live.

Several Decrees, circulars and decisions have been issued regarding IP. Decree No. 05/2011/ND-CP (January 14th, 2011), provides the guidance for activities related to IP which include support for the maintenance of language, culture, customs of IP. According to this Decree, proposed projects affecting land, environment, or the life of IP communities, should disclose information and consultations carried out with representatives of the local authorities, to ensure that all investments result in better life conditions, and are carried out in a culturally appropriate manner (article 9).

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

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

Development of socio-economic policies for each region and target group should consider the needs of ethnic minorities. Socio-economic development plan and strategy of Vietnam call for special attention to ethnic minorities. Policies on education and health care for ethnic minorities have also been issued. The legal framework was updated in 2014, all legal documents related to EM are shown in Table 2.

Table 2: Legal documents relating to ethnic minority

2013	Decision No. 29/2013/QD-TTg dated 20 May, 2013 by the Prime Minister on some policies for supporting land and occupation for poor ethnic minorities with difficult life in Mekong Delta in period of 2013 – 2015
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2013	Decision No. 449/QD-TTg dated 12 March, 2013 by the Prime Minister on approving the ethnic minorities strategy until 2020
2013	Decision No. 2356/QD-TTg dated 4 December, 2013 of the Prime Minister on promulgating the action plan for implementation of the ethnic minorities strategy until 2020
2013	Joint Circular No. 05/2013-TTLT-CEM-ARD-MPI-TC-XD dated on November 18, 2013 guideline of program 135 on support infrastructure investment, production development for extremely difficult communes, border communes, particularly difficult villages
2013	Joint Circular No. 05/2013-TTLT-CEM-ARD-MPI-TC-XD dated on November 18, 2013 guideline of program 135 on support infrastructure investment, production development for extremely difficult communes, border communes, particularly difficult villages
2012	Decision No. 54/2012-QD-TTg of the Prime Minister dated on December 04, 2012 on promulgation of lending policy for development for particularly difficult ethnic minorities in period 2012-2015
2012	Decree No. 84/2012 / ND-CP of the Government dated on December 10, 2012 on functions, tasks, powers and organizational structure of the Committee for Ethnic Minorities.
2012	Joint Circular No. 01/2012 / TTLT-BTP-CEM date on January 17, 1012 of the Ministry of Justice and the Committee for Ethnic Minorities on guideline and legal assistance for ethnic minorities.
2011	Decree No. 05/2011/ND-CP on ethnic minorities' works.
2010	Decree No.82/2010/ND-CP of government, dated 20 July 2010 on teaching and learning of ethnic minority languages in schools.
2009	Decision No 102/2009 / QD-TTg dated on August 07, 2009 of the Prime Minister on directly policy assistance for the poor in difficult area.
2008	Resolution No.30a/2008/NQ-CP of government, dated 27 Dec. 2008 on support program for rapid and sustainable poverty reduction for 61 poorest districts.
2007	Circular No.06 dated 20-September-2007 of the Committee for Ethnic Minorities Affair guidance on the assistance for services, improved livelihood of people, technical assistance for improving the knowledge on the laws according the decision 112/2007/QD-TTg

2007	Decision No. 05/2007/QD-UBND dated 06-September-2007 of the Committee for Ethnic Minorities Affair on its acceptance for three regions of ethnic minorities and mountainous areas based on development status
2007	Decision No.01/2007/QD-UBND dated 31-May-2007 of the Committee for Ethnic Minorities Affair on the recognition of communes, districts in the mountainous areas.
2007	Decision No.06/2007/QD-UBND dated 12-January-2007 of the Committee for Ethnic Minorities Affair on the strategy of media for the program 135-phase 2

Challenges and gaps in the legal systems

In terms of the national legal framework, equality and rights of Indigenous People (IP) are stipulated clearly in the Viet Nam Law. The new Constitution of Viet Nam (2013) acknowledges equality among ethnic groups and includes general principles such as: i) All the ethnicities are equal, unified and respect and assist one another for mutual development; all acts of national discrimination and division are strictly forbidden; ii) The national language is Vietnamese. Every ethnic group has the right to use its own language and system of writing, to preserve its national identity, to promote its fine customs, habits, traditions and culture.; and iii) The State implements a policy of comprehensive development, and provides conditions for the ethnic minorities to promote their physical and spiritual abilities and to develop together with the nation.

Several Decrees, circulars and decisions have been issued regarding IP. Decree No. 05/2011/ND-CP on ethnic minorities' works (Article 9) indicate that investors of planning and construction projects that affect the land, environment, ecology and life of ethnic minority groups shall publicize these projects, collect opinions of inhabitants in affected areas, organize resettlement and create conditions for relocated people to enjoy a better life in new areas.

Some gaps remain, they are discussed below:

- No provision is made in the legal framework for a separate indigenous peoples plan (IPP) or for a separate social impact assessment to be prepared. However, for projects with impacts on socioeconomic situation and cultural tradition, a framework policy has to be prepared (Land Law No: 45 /2013/QH13. Article 87 and Decree No. 47/2014/ND-CP Art. 17.1). Under the Project, SAs and EMDPs will be prepared.
- The legal framework also doesn't recognize clearly customary rights on land. However, under the land law, land used stably before 1st July 2014, is entitled to compensation. Land Law (At. 131) also specifies that the use of agricultural land by communities is regulated as follows: a) Communities are allocated land or recognized land use rights by the State to preserve national dignity associated with the traditions and customs of the peoples. Under the Project, customary rights on land, if any, will be recognized.
- The existing legislation doesn't require the consent of ethnic minorities for commercial exploitation of their culture and knowledge, their physical relocation from their traditional land, or the commercial development of natural resources on their traditional land. They are treated like other citizens with the same rights. There is no

specific mechanism to assess community support for the project. Under this Project, the broad community support for the Project will be sought,

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

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

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

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

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

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

In the context of the sub -project, the EM groups (equivalent to indigenous peoples) in the sub-project area are likely to receive long term benefits through the infrastructure and activities to raise awareness, but they may be negatively affected by land acquisition and/or relocation. Specific policy and action plan to mitigate the potential impacts due to land acquisition and relocation will be addressed through the preparation of the Resettlement Action Plan (RAP) of the sub -project.

III. POTENTIAL IMPACTS OF THE PROJECT

The implementation of the sub-projects will bring positive effects related to social and economic development of this area and will help communities to adapt to climate change. The project also aims to assist people to adapt their livelihoods for more sustainability and higher income. However, it will also cause negative impacts due to land acquisition necessary for the proposed investments. Negative impacts on waterway transportation due to additional sluices gates and, in some cases, on employment opportunities for the poor (mainly ethnic minorities) may also occur. In addition, the project may have impacts on the livelihood of the people. Specific groups, such as ethnic minorities, may need special support as it is anticipated that these groups may have more difficulties to adapt/change their current livelihoods due in particular, to the high level of illiteracy and lack of job skills among the EM groups.

The potential impacts were assessed on the basis of extensive consultations with ethnic minority communities in the project area and with key informant and stakeholders interviews. These impacts will be detailed in the two EMDPs prepared for the first year subprojects. Summary of consultation is presented in Annex 1.

3.1. Positive impacts

Through the construction of the sluices gates, the reinforcement of embankment/dikes and the construction of other infrastructures, the project is expected to bring the following benefits:

Table 3: Positive Impacts and Measure to Maximize Project Benefits

Positive impacts	Description of investments	Measure to maximize project benefits
Preventing high tides, salinity intrusion and flooding into production areas	<ul style="list-style-type: none"> - Coastal afforestation in combination with building embankments to restore and stabilize the mudflats - Investment in upgrading/reinforcement of sea dikes and construction of sluices gates, 	<ul style="list-style-type: none"> - Full consultation with the participation of ethnic minorities in the project implementation process will be organized to ensure that the project adequately addressed the needs, priorities and choices of ethnic minorities.
Improving community's awareness of climate change adaptation and changing upstream flow	<ul style="list-style-type: none"> - The communication activities, awareness raising; - Community guidance improvement 	<ul style="list-style-type: none"> - The project strengthens the capacity of ethnic communities to let them self-develop and create conditions for them to better understand their responsibilities in CCA and livelihood development.

Positive impacts	Description of investments	Measure to maximize project benefits
Supporting production transformation, improving the efficiency of agricultural production, hunger eradication, and poverty reduction	<ul style="list-style-type: none"> - The construction activities, development and transfer of production model; - Investment in small-scale infrastructure; - Support conversion/adaptation of livelihood model, agricultural activities, and market access 	<ul style="list-style-type: none"> - Suggested activities for the project to improve the lives of ethnic minority people. - Clarify the organization and operation responsibilities for capacity building and training for the project implementation units to ensure that ethnic minorities benefit from the project. - The annual progress reports will assess which extent ethnic minority people are interested in and what project benefits they are enjoyed. - The distribution of benefits to minorities will be evaluated periodically and barriers to prevent ethnic minorities from accessing project benefits will be identified to solve within the project framework.

During the construction process, many local workers will be hired and will create short-term income opportunities for local people.

3.2. Negative impacts

The potential negative impacts linked to the subprojects are presented in the following table:

Table 4: Potential Negative Impacts and Proposed Measures to Minimize Impacts

Activities	Description of potential negative impacts	Measures to Minimize Negative Impacts
Land acquisition	<ul style="list-style-type: none"> - Proposed subprojects may acquire land of EMs 	<ul style="list-style-type: none"> - If land acquisition is unavoidable, it must be minimized, mitigated, or compensated for losses in a culturally appropriate manner. - RAP will be prepared; - Conduct free, prior, and informed consultation with affected ethnic communities. - Livelihood restoration for HH losing productive land;
Relocation	<ul style="list-style-type: none"> - Loss of residential land and houses leading to relocation at other location. - Loss of culture and social cohesion due to relocation. 	<ul style="list-style-type: none"> - Compensate for all losses at replacement costs and provide replacement land within their village or commune satisfactory to EM so that their cultural and social cohesion could be maintained. - Resettlement sites must be chosen in consultation with relocating EM. - Support to relocating HHs to restore their livelihood and living conditions.
Affected livelihood	<ul style="list-style-type: none"> - Some households cultivating land may have their livelihood affected during the construction due to access restrictions and/or impacts on waterways and irrigation channels; 	<ul style="list-style-type: none"> - Avoid interruption of flow in irrigation channels and maintain water quality; - Conduct free, prior, and informed consultation with affected EMP;
Waterway transportation	<ul style="list-style-type: none"> - Waterway transportation may be affected with the construction of new sluice gates; 	<ul style="list-style-type: none"> - Sluice gate designs need to ensure that boats can move in and out optimally; - An operational schedule for proposed sluice gates should be developed with community input including EM;

Activities	Description of potential negative impacts	Measures to Minimize Negative Impacts
Grave relocation	<ul style="list-style-type: none"> - The proposed subprojects will not affect graveyards of EMP but may affect some scattered tombs which are located in construction sites. 	<ul style="list-style-type: none"> - Avoid relocating graves; If relocating graves is unavoidable, conduct free, prior, and informed consultation with affected EMP and compensate them in a culturally appropriate manner.
Adverse health impact during construction	<ul style="list-style-type: none"> - During the construction of the works, ethnic people may be affected by dust and noise pollution, accident, HIV which directly impact on ethnic minority people's health. 	<ul style="list-style-type: none"> - The project will develop an environmental management plan, meeting criteria for affection control, health care and waste management. The plan will be publicized and shared with EM living near the project areas. - Conducts free, prior, and informed consultation with EM on HIV/AIDs and/or social evils.
<ul style="list-style-type: none"> - Negative impacts on employment opportunities 	<ul style="list-style-type: none"> - As indicated in the Regional Social Assessment, underemployment is a problem for the landless and poor (mainly ethnic minorities). The demand for labor in agriculture production has been declining over many years because of mechanization. - The project may result in negative impacts on employment opportunities for the poor and likely increase inequality unless the project pro-actively provides opportunities for the poor. 	<ul style="list-style-type: none"> - Livelihood support for the landless in the sub-project areas should be established or extended from existing development programs - Encourage agribusiness (particularly vertically integrated companies) companies to extend their value chains to create employment opportunities for the poor

IV. CONSULTATION AND INFORMATION DISCLOSURE

4.1. Consultation and Information Disclosure

This section provides a framework for ensuring that the ethnic minorities in the project area (equivalent to the indigenous peoples as defined in OP 4.10 of the WB) has equal opportunity to share the project benefits, that free, prior and informed consultation, and adequate information dissemination will be conducted to ensure their broad-based community access and support to the project. Consultation will also ensure that any potential negative impacts

are properly mitigated and the EMPF will be applied to all the subprojects. It provides guidance on how to conduct preliminary screening of ethnic minorities, social assessments, EMDP establishment and identification of mitigation measures given due consideration to consultation, grievance redress, gender-sensitivities, and monitoring.

In terms of consultation and participation of ethnic minorities, when the subprojects have impacts on EM, the affected EM peoples have to be consulted on the basis of free, prior, and informed consultation (FPIC), to assure:

- a. EM people and the community where they belong to are consulted at each stage of subproject preparation and implementation;
- b. Socially and culturally appropriate consultation methods will be used when consulting EM communities. During the consultation, special attention will be given to the concerns of EM women, youth, and children and their access to development activities; and
- c. Affected EM people and their communities are provided, in a culturally appropriate manner at each stage of subproject preparation and implementation, with all relevant project information (including information on potential adverse effects that the project may have on them, and
- d. The free, prior and informed consultations with EM leads to a broad community support for the project implementation.

If necessary, a local person (of the same EM group) will be invited to join the consultation just in case local EM language is required to promote the free exchange of information between the EM peoples, and the consultant team.

Consultation is important to EMDP preparation since it provides ethnic minority groups (both potentially affected and not affected by subprojects) with opportunities to participate in planning and implementation of subprojects. More importantly, it helps identify potential adverse impact, if any, as a result of subproject, on EM's income generation activities and their livelihoods, thereby enabling devising of appropriate measures as to how adverse impacts could be avoided, minimized, and mitigated.

Consultation also aims to ensure EM people have opportunities to articulate, on the basis of their understanding of subprojects/project goal, their needs for support from the project in relation to the project goal/project activities. The whole exercise of developing EMDP is grounded on a study that is referred to, in Bank funded projects, as social assessment.

Method and form of consultation contents, time, and location of consultations have also to be appropriate with ethnic minority culture.

4.2. Preparation prior to conducting free, prior, and informed (FPIC) consultation

- Before starting consultation with EM peoples, the objective of the EMDP should be set forth. This aims to ensure a) project's potential adverse impact on EM's livelihood/income generation activities, if any, could be avoided/ minimized/mitigated and b) EM peoples (in the subproject area) receive social and economic benefits (from project) that are culturally appropriate to them.
- The following information/tools should be ready to assist the preparation of the EMDP:
 - Key findings of the social assessment, including both positive and negative impacts of the subproject, if any,
 - Data collection tools (including a) guide questions - to facilitate the consultations, b) household questionnaire (if quantitative analysis is required, c) other tools for data recording. Data collection tools should be pre-tested to ensure the way the questions are asked are understandable, and appropriate to the EM peoples to be consulted,
 - Language: when pre-test/experience indicates local EM language should be used for consultation (instead of Viet language), a good interpreter (i.e. a local EM person) should be arranged and available on the research team to ensure effective and convenient communication/ interaction during the consultation process,
 - Project information: a set of documents summarizing key information related to the project, such as a) project goal, b) subproject objective, c) potential subproject impact (as confirmed from the social assessment), etc., should be carefully prepared beforehand, and provided to the consulted EM.
 - Project information should however not rely solely on written documents/communications (eg. for compensation, technical training, etc.). In most of the sub-project areas, particularly where target beneficiaries are located in relatively remote areas - making schooling difficult (Ca Mau, Kien Giang, Soc Trang) – the level of education is very low and there are relatively high levels of illiteracy, particularly amongst women. The content of documents and communications must be supplemented by face-to-face verbal communications. Language barriers with ethnic minority groups at sub-project sites do not appear to be an issue as they are largely integrated into the Kinh community through inter-marriage. However, as with the general community, literacy is a problem that affects this group (RSA)

4.3. Conducting free, prior, and informed consultation (FPIC)

- The research team should ensure a free, prior, and informed consultation, and foster an informed participation of the EM peoples consulted. The consultation methods employed should be appropriate to the social and cultural values of the consulted EM communities, and their local conditions. The purpose of FPIC exercise is expected to

confirm whether there is a broad community support for the subproject implementation. In case the subproject results in adverse impact, it is important that the affected EM population understand clearly and sufficiently the potential impact, so as to be able to provide a meaningful feedback on how such impact could be avoided/minimized/mitigated, and how the compensation would be made in the event the adverse impact is unavoidable.

- It is also important for the research team to understand clearly and assess the level of support from EM people they consulted with, particularly for those who are adversely affected and would expect appropriate mitigation or compensation measures,
- The results of consultation should be provided to the affected EM communities to enable both research team and EM peoples to validate the results of the consultation process, and fine-tune the proposed actions, if necessary. Providing consultation feedback is particularly important for cases where adverse impact on the EM population were identified (from the social assessment), and were discussed with the EM peoples during the consultation process. Provision of feedback to the affected peoples could take the form of community meetings – conducted in a manner similar to the FPIC standard.

4.4. Broad Community Support (BCS)

Broad Community Support for a subproject implementation is very important. The Bank will provide project financing only where free, prior and informed consultation results in broad community support. A meaningful BCS should come from good social assessment and consultation. It is important that the BCS (with good community representation and its level of support) be documented and reflected in the EMDP, particularly with project/subprojects with high impact on the local EM communities. The support of affected EM communities refers to a collective expression of the affected EM communities, through individuals and/or their recognized representatives, of broad community support for such project activities. Broad community support may exist even if some individuals or groups object to the project activities.

A number of activities are expected to be implemented to support ethnic minority in the project area.

- Training on strengthening community's awareness and capacity
- Communication on disaster risk and climate change;
- Transfer of cultivation techniques adapted to climate, water condition, likelihood development;

Generic TORs for consultation are presented in Annex 3.

4.5. Information Disclosure

As per Bank's requirement, this EMPF will be disclosed prior to project appraisal. Its Vietnamese version will be disclosed on the website of Central PMU, and locally at provincial, district, and commune level on subsequent dates. The English version of this EMPF will be disclosed on Bank's Infoshop.

For the EMDPs to be prepared, once accepted by Bank, such EMDP must be disclosed locally prior to appraisal of respective subprojects. Subproject EMDPs need to be disclosed in an accessible place and in a form and language understandable to the EM peoples as well as other project stakeholders. For subprojects categorized by the Bank (at the time of appraisal of the subproject) - as Category A (by Environmental screening), the EMDPs for such subprojects must be translated into English by PPMU and submitted to the Bank disclosure on Bank's Infoshop.

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

V. GRIEVANCE REDRESS MECHANISM

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

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

As for other citizen, if the affected EM peoples are not satisfied with the process, compensation or mitigation measures, or any other issue, the EM themselves or EM representatives or village leaders can lodge their complaints to the PPC or to the PPMU following the grievance redress mechanism established in the EMPF. All grievances will be addressed promptly, and in way that is culturally appropriate to the affected EM peoples. All costs associated with EM's complaints are exempted to EM complainants. PPMU and independent monitoring consultant are responsible for monitoring the progress of resolution

of EMs' complaints. All cases of complaints must be recorded in PPMU project files, and be reviewed regularly by independent monitoring consultant.

The grievance redress mechanism is established on the basis of the Vietnam's laws. The mechanism of complaint and complaint and grievances resolution steps are as below:

First Stage - Commune People's Committee

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

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

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

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

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

Final Stage - Court of Law Decides

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

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

To ensure that the grievance mechanism described above are practical and acceptable by the ethnic minority affected by the subproject, this will be consulted with local authorities and local communities taken into account of specific cultural attributes as well as traditional,

cultural mechanisms for raising and resolving complaints/conflicts. If the ethnic minority objects, efforts will be also made to identify and determine ways to resolve that is culturally acceptable to them.

VI. MONITORING AND EVALUATION

Responsibility of overall monitoring and implementing the EMPF and EMDPs rests with the CPO. Implementing the EMPF and EMDP will be subjected to external independent monitoring by a qualified consultant. The external independent monitoring consultant will be hired by CPO. This service could be integrated into the contract for independent monitoring of the implementation of RPF and RAPs.

6.1. Internal Monitoring

Responsible agencies. The CPMU under the CPO will be responsible for the overall implementation of the EMPF and EMDPs. CPMU is responsible for overall guidance to the PPMU and implementation of subprojects' EMDPs on the part of the PPMU.

6.2. External Monitoring

Responsible agencies. An independent monitoring consultant (IMC) will be contracted to monitor the implementation of social safeguards of project, including the EMDPs. Monitoring report will be submitted to the World Bank for review and comments. External monitoring should be conducted twice a year during the implementation of the Project to timely identify issues that might need immediate action from CPMU and PPMU.

VII. GUIDELINE FOR EMDP PREPARATION

7.1. Screening

All communes that are candidates for sub-Project will be visited (at the time of first consultation with communes) by a teams made up of the World Bank Task Team, PPMUs, and local authority. Prior to the visit, the respective PPMUs will send a letters to the communes informing the commune leaders that they will be visited by the respective PPMUs or project consultants which would like to discuss sub-project. The letter will request that the communes invited to the meeting have representatives of farmers and women associations, village leaders, and key staff of commune for discussion on the sub-project. If there are ethnic minorities in the commune, their leaders should be invited to the meeting as well. During the visit, the commune leaders and other participants will present their views with regards to the sub-project. At this visit, the team will undertake a screening for ethnic minority population with the help of ethnic minority leaders and local authorities. The screening will check for the following:

- (a) names of ethnic groups in the commune
- (b) total number of ethnic minority groups in the commune
- (c) percentage of ethnic minority of commune population

- (d) number and percentage of ethnic minority households along the zone of influence of the proposed sub-Project.

7.2. Social Assessment

If the results show that there are ethnic minority communities in the zone of influence of the proposed sub-project, a Social Assessment (SA) will need to be undertaken by PPMUs for those project areas to evaluate the project's potential positive and adverse effects on the ethnic minority communities, and to examine project alternatives where adverse effects may be significant. The breadth, depth, and type of analysis in the social assessment are proportional to the nature and scale of the proposed project's potential effects on the ethnic minority communities, whether such effects are positive or adverse. The social assessment is carried out by the social scientists (consultants) whose qualifications, experience, and TOR are cleared by the Bank.

The purpose of the SA is to ensure if there is any potential adverse impact as a result of the subproject, appropriate measures are in place (in advance of subproject implementation) to avoid, mitigate, minimize such potential adverse impact, or to compensate for affected population, if unavoidable. Most important with the SA exercise is the consultation process to be conducted with EM people in the subproject area. Consultation should be undertaken as a series of meetings with EM done at different times during the subproject cycle to ensure potential impact is projected as accurate as possible. Appropriate consultation methods, specific to each ethnic minority groups, need to be adopted to obtain valid and reliable feedback from the EM being consulted. When consulting EM, particular attention need to be given to vulnerable groups, particularly those below the poverty line, the landless, the elderly, women and children. It is important that a broad community support for the subproject implementation be obtained before subproject is appraised for implementation.

The SA will include: baseline data, institutional analysis, it will determine the framework for consultation during the project cycle. Information will be gathered from several separate group meetings: ethnic minority leaders; ethnic minority men; and ethnic minority women, especially those who live in the zone of influence of the proposed work under sub-project. Discussions will focus on sub-project positive and negative impacts, community support; and recommendations for design and implementation of sub-project. The PPMUs will be responsible for analyzing the SA, and for leading the development of an action plan with the ethnic minority communities, project engineers and other staff.

If the SA indicates significantly adverse impacts and/or strong resistance of the ethnic minority community, implementing agencies (PPMUs) is required to explore alternative options. It is worth to note that the impacts are not only in terms of land losses (which are regulated in respective RP), but also other intangible impacts at community level. If the ethnic minority community supports the sub-Project implementation an EMDP will be developed to address the potential positive or negative impact of the subproject. An EMDP should contain

elements and aspects as suggested from Bank's OP 4.10. The depth and breadth of the EMDP may vary depending on the nature of project impacts, and the proposed development activities – as agreed upon with the consulted EM peoples. The final version of the EMDP, incorporating final feedback from consulted EM peoples has to be disclosed – as per OP 4.10 requirements. Annex 2 of this EMPF proposes an outline for the preparation of an EMDP.

Generic TORs for SA are presented in Annex 4 and for the preparation of EMDPs in Annex 5.

7.3. Procedure for review and approval of an EMDP

Once preparation of an EMDP is completed for a subproject, Provincial PMU needs to submit the EMDP to the Central PMU for their review and comments before it is submitted for the WB review and approval. The Bank may request revision and update of the EMDP. When there is doubt or need for technical support in preparing the EMDP, the WB's task team should be contacted for timely support. EMDP, once accepted by Bank, needs to be disclosed prior to subproject appraisal/approval.

Provincial PMU will also submit the EMDP to the Committee for Ethnic Minorities Affairs (CEMA) of the province for review and comments

During EMPF/EMDP preparation, the EMPF/EMDP were also submitted to EM groups and various provincial representatives in the sub-project area during public meetings (See Annex.1).

This EMDP will be updated before implementation to reflect any additional development needs that the EM peoples may need when the impact of subproject is confirmed on the basis of final detailed engineering design. The updated EMDP will be prepared in coordination with each provincial CEMA and will be submitted to PPC for approval.

Updated EMDP will also be submitted to EM groups in the two sub-project areas according to the provisions set-forth in Chapter IV.

7.4. Implementation of EMDP

The Ministry of Agriculture and Rural Development (MARD), on behalf of the Government, is the project owner. MARD assumes an overall responsibility for the entire project. The PPC directly implements the sub-projects.

At Central level: a Central PMU will be established to coordinate the project implementation. CPMU is responsible for the overall implementation of EMDPs prepared under the project and ensuring that all PPMUs understand the purpose of EMPF, and how EMDPs for each sub-project are prepared and approved prior to implementation. CPMU is also responsible for ensuring effective implementation of the EMDP, including monitoring and evaluation of the implementation of the EMDP.

At the outset of the project implementation, CPMU will provide training to PPMUs to enable them to be able to undertake screening of ethnic minority peoples in the subproject area.

Where local capacity is insufficient to prepare an EMDP, qualified consultants may be mobilized to assist PPMU in development of EMDP for the subprojects. EMDP should be prepared in accordance with the EMPF.

At the central level, the Committee for Ethnic Minorities Affairs (CEMA) assumes the prime responsibility for IP and coordinates with concerned ministries and branches in: planning, elaborating and implementing the IPs' policy; and to guide, inspect, examine, review, assess, disseminate and mobilize the implementation of IP policy under Decree 05/2011. CPMU will coordinate with CEMA for the preparation of capacity building for PPMUs. CEMA will also provide general guidance for the implementation of the EMDP.

At provincial level: The PPMUs are responsible for preparing and implementing the EMDPs. Appropriate staff and budget – sufficient to implement an EMDP, should be assured. In case where EM peoples are affected as a result of land acquisition, to allow construction of subprojects, compensation, assistance to EM affected will be addressed through relevant RAP which is prepared of subproject in accordance with the project's RPF.

Responsibility for preparation and implementation of EMDP are as follows:

- a) The general responsibility of the elaboration and implementation of the EM policy framework belongs to the Central Project Office (CPO). The CPO shall employ consultants in close coordination with such relevant agencies as Ministries/Departments at central level, People's Committees of province/district/town (in particular each province-level CEMA) involved in the project and affected communities to prepare the EMPF. This EMPF will be approved by the MARD and cleared by the WB prior to the time of Agreement Negotiation.
- b) The EMDP of each sub-project will be prepared by social consultant on the basis of principles of the EMPF. PPCs will be responsible for approving and implementing the EMDP. The province-level CEMA will be also involved in the review of the EMDP and will assist PPC for the review, approval and general guidance.
- c) The funds for the EMDP will come from the bank-financed project.
- d) The CPO under MARD, via Environment and Resettlement Division, shall be responsible for ensuring effective implementation of the EMPF and the EMDPs in close consultation to the same level departments and project provinces and in particular with the CEMA of each province.

VIII. COSTS AND BUDGET

The budget for the EMDP implementation was estimated during the EMDP preparation based on specific activities proposed for each EMDP. The main items for the costs estimates include:

- Awareness campaign on climate change to improve EM community resilience;
- Livelihood models proposed to enhance income (especially for the landless);

- Training on livelihood skills to increase employment opportunities for EM;
- Capacity building for PPMU staff;

The costs of EMDP implementation will be allocated from the project budget which use Bank's financing.

	Activity	Kien Giang	Tra Vinh Vinh Long	Total
1	Improving community's awareness to climate change adaptation	900 000 000	900 000 000	1 800 000 000
2	Support to livelihood activities for ethnic minority and poor households	525 000 000	525 000 000	1 050 000 000
3	Create more employment opportunities for the landless and land poor	1 500 000 000	1 800 000 000	3 300 000 000
4	Capacity building and training for the project implementation units to ensure that ethnic minorities benefit from the project	450 000 000	450 000 000	900 000 000
5	Capacity building for mass organizations	300 000 000	360 000 000	660 000 000
6	Enhance education of the Khmer community	600 000 000	720 000 000	1 320 000 000
	Sub-total	4 275 000 000	4 755 000 000	9 030 000 000
	Contingency (10%)	427 500 000	475 500 000	903 000 000
	Management cost (10%)	427 500 000	475 500 000	903 000 000
	Total (VND)	5 130 000 000	5 706 000 000	10836000000
	Total (USD)	228 000	253 600	481 600

APPENDIX

Annex 1: Summary of minutes of consultation with ethnic minorities group

1. Consultation Purposes

Group discussions aim at: (i) Providing information on the sub-projects and the project principles of compensation and resettlement to the people; (ii) Learning about the history of natural disasters (floods, droughts, salinization), nature of annual natural disasters, capacities of natural disaster prevention and response and rescue of localities and the people, consequences of annual natural disasters; (iii) Learning about social networks in prevention and response to natural disasters and risks; (iv) Selecting forms of compensation and resettlement by affected people in case of land/ house acquisition; and (v) Unanimity and support of the people for the project and their recommendations or proposals.

2. Consultation Contents

- Project information
- Some cultural features
- Current livelihood activities of the people
- Current status of local irrigation system and clean water supply
- Issues of land acquisition, compensation, allowances, and resettlement
- Assessment on the local people's support for the project

3. Consultation Methods

- Provincial consultations with the participation of representatives from the Department, the project districts;
- District-level consultations with the participation of representatives of ethnic division and stakeholders;
- For group discussions at, affected and unaffected EM people were chosen from various household groups, by living standards, genders, and ages. Each group included 5 – 8 participants. A social specialist guided them during the discussions and documented

discussed information. People discussed freely under the specialist's guidance, without any external intervention or constraint.

4. Summary of Consultation Results

No.	Project area	Time	Place	Participants	Consultative result
1	An Giang	14/09/2015	Agricultural Department (An Phu Dist)	<ul style="list-style-type: none"> - Representatives of Agricultural Department - Representatives of Ethnic - Representatives of Agricultural Extension Center - Representatives of Ethnic District Chamber 	<ul style="list-style-type: none"> - Locals is very supportive of the project and issues of sustainable agricultural development, adaptation to natural disasters, particularly flooding livelihood development for flooded areas of the district; - On the issue of ethnic minorities, the district has Cham people, but 3 communes in the project do not have ethnic minorities living in; - Regarding community support, it should focus on employment, diversification of income for people in the flood season and harvest time.
2	An Giang	14/09/2015	Vinh Loc CPC	<ul style="list-style-type: none"> - Representatives of Agricultural Department - Representatives of CPC - Representatives of the unions of 3 communes 	<ul style="list-style-type: none"> - Currently, production conversion is difficult; - Three-crop rice production solves job issues but profits and productivity are precarious; - Activities supporting the construction fees should focus on production model transformation, income diversification, and livelihood stabilization for locals in the flood

				in the west bank of the Hau River	season.
3	An Giang	15/09/2015	Department of Agriculture and Rural Development (An Giang province)	- Representatives of the Department of Agriculture and Rural Development; Department of Planning and Investment, Department of Finance; Department of Natural Resources and Environment; Provincial Ethnic Minority Committee; Provincial Agricultural Extension Center, Representatives of districts in the project area, ...	- 3 communes of the West bank of the Hau River do not have EM - When conducting the project, activities relating to ethnic minority groups need attentions as matching customary; guaranteeing 3 basic principles: equality, solidarity and interdepend. - The support activities should focus on raising public awareness, building the target groups, and changing livelihoods.
4	Dong Thap	16/09/2015		- PMU; Fisheries Department, Plant Protection Department; Irrigation	- The expected investment communes of Tam Nong and Hong Ngu districts involving in the project have no EM; - Objectives as well as project's activities need to

				<p>Department; Representatives of districts in the project area</p>	<p>be informed early and fully to the community.</p> <ul style="list-style-type: none"> - Fully support consultation plan which is about Social Safety Policy Framework of the group in communes of Tam Nong district
5	Soc Trang	17/9/2015	Cu Lao Dung District	<ul style="list-style-type: none"> - DPC - PPMU - Construction consultancy FS - - Representatives of communes of the district 	<ul style="list-style-type: none"> - 30% of people are EM - The majority of poor households are EM; - The implementation of policies on ethnic minorities is limited in terms of resources and needed the support of the development project. - Currently, the district is focusing on agricultural production towards commodities, but it will need the technical support and guidance to the production model, livelihood; - Support of small-scale infrastructure for EM is necessary.
6	Soc Trang	17/9/2015	Department of Agriculture and Rural Development	<ul style="list-style-type: none"> - Representatives of Department of Agriculture and Rural Development - Representatives of Cu Lao Dung DPC - Representatives of the relevant departments 	<ul style="list-style-type: none"> - Basically agree with the policy framework presented in the project; - Besides investment activities, there should be communication activities to improve community's awareness; - Livelihoods development activities need much support to promote the available resources and new investment from the project.

6	Tra Vinh	18/9/2015	Department of Agriculture and Rural Development	<ul style="list-style-type: none"> - DARD, Department of Natural Resources and Environment; Department of Planning and Investment; Departments and divisions of the Department; Representatives of districts in the project area 	<ul style="list-style-type: none"> - There are about 30% of EM living in South Mang Thit; however, in communes where 3 sluices are built, have only 1-2 EM households and the construction has no effects on EM; - The support activities oriented EMF should be consultation of other Ethnic Chamber of the district.
7	Tra Vinh	05/11/2015	Ethnic Chamber of Cau Ke Dist	<ul style="list-style-type: none"> - Representatives of Ethnic Chamber of Cau Ke Dist 	<ul style="list-style-type: none"> - In 10 communes and 1 town of the district, there are 8 communes having EM, accounting for 31,335 of total about 132,696 people in the district. - The majority of EM's income is from agriculture, their production level is still low because of education level and also customs; besides, it is also due to the lack of production land (land is sold for consumption or landless); - There should be support for the development of livelihoods (livestock), raising public awareness; - The grievance redress mechanism is partly

					<p>based on the reputation of the individual in community, partly integrated with the teachings of the monks to solve community conflicts.</p> <ul style="list-style-type: none"> - There are only 3 people in Ethnic Chamber; hence, there should be coordination with other departments of the district in supporting EM activities.
8	Kien Giang	28/10/2015	Department of Agriculture and Rural Development	<ul style="list-style-type: none"> - Department of Agriculture and Rural Development; - Department of Natural Resources and Environment; - Department of Planning and Investment; - Department of Finance; Ethnic Committee; PPMU; Representatives of An Minh and Anh Bien DPCs... 	<ul style="list-style-type: none"> - Basically agree with presented the issues and RPF as well as EMF; - There are ethnic minorities in An Minh and An Bien District but most of them live in An Minh District; - Some of the Cham households living on the sea dike can actively displace because these are temporary houses. Local will actively move households currently living on the dike out of the corridor work protection area. - The investment orientation of the project for the local is absolutely necessary and urgent; resolving inundation, high tides, and environmental pollution. - There shall be support for locals to efficient and sustainable production conversion.

9	Kien Giang	27/10/2015	An Bien DPC	<ul style="list-style-type: none"> - Representatives of Ethnic office, Agricultural District office, and District office 	<ul style="list-style-type: none"> - It has 11.75% EM in which the majority is Khmer, Hoa has 170 households, 6 households are Cham; - There are 3 main festivals of EM and all 3 are the big festivals; - Activities supporting local ethnic minority people are complying with the guidelines and regulations of the government, however, resources are scattered and lack of funds, so cannot meet actual requirements; - The activities supporting EM of the project should focus on livelihood development, especially in helping to stabilize the income of farmers through the models of raising pigs, chicken household level, with investment of livestock pens, breed and feed as well as technical guidance, then expanded to the community; - - The investment activities and support for ethnic minorities should be through DPC then assigned with ethnic, agriculture room, labor room invalids and social, cultural room for each specific task.
10	Kien Giang	28/10/2015	An Minh DPC	<ul style="list-style-type: none"> - DPC Representatives, Officer in charge of EM in the district; 	<ul style="list-style-type: none"> - The district does not have ethnic division - It has three main ethnic groups namely Kinh, Hoa and Khmer with about 846 households / 2805 EM

				<p>Representatives of local District Agricultural Division</p>	<p>(statistics in 2014);</p> <ul style="list-style-type: none"> - EM live scatterly throughout 6 communes, the majority of Khmer are poor households, lack of resident and production land; - Local government is assisting ethnic minority households in terms of resident land, productive land under the policy of the state, an average of 33 million VND / 01 ground of resident land and livelihood support activities as well as other poverty alleviation; - - Locals are very supportive of the project, especially the policy to support EM;
11	Ca Mau	21/10/2015	Ngọc Hien DPC	<ul style="list-style-type: none"> - Representatives of the DPC; - Representing the function room of the district; - Representing the project communes (representing CPC, representing Farmers Association, the Red Cross, Youth Union, Women's Union communes, represents the 	<ul style="list-style-type: none"> - The investment in the development of organic shrimp, mangrove shrimp production areas is in the orientation of local development; to support productive investment to upgrade the embankments, planting forest based on ecological standards, training farmers to sustainably produce, support of standard latrines; - It is coastal area that is why there are no ethnic minorities ; - The Policy Framework launched fully consistent with the policies of the current government; - - Local support project, expecting to implement

				project area farmers ...)	the project soon to minimize risks and losses due to the overflowed tide, water shortages for aquaculture.
12	Ca Mau	21/10/2015	Department of Agriculture and Rural Development in Ca Mau province	<ul style="list-style-type: none"> - Representatives of departments and related agencies; - Representatives of the district's planned investment projects; - Land area NGOs (GIZ, WWF, UNDP, ...) 	<ul style="list-style-type: none"> - Landslide condition in the East coast is very urgent and should be included in the investment phase 1 of the project; - Review of livelihood support for landless households;
13	Ben Tre	22/10/2015	Ba Tri DPC	<ul style="list-style-type: none"> - Representatives Committee and the district office; - Representatives of the communes in the project area 	<ul style="list-style-type: none"> - Six communes located on the sea dyke do not have Ethnic minorities. - Currently, due to the lack of synchronous investment drain on existing dike wall causing flooding, overflowed into the area of aquaculture and salt making, reduce productivity; - The expected investment drain has been compensated in the project of the World Bank ended in 2012 (Project WB4);
14	Ben Tre	23/10/2015	Thạnh Phú DPC	<ul style="list-style-type: none"> - Representatives Committee and the district Office; - Representatives of the 	<ul style="list-style-type: none"> - Currently, backwater causes flooding and affects the production of people; - Districts wishing to invest 2 dikes to limit saltwater intrusion, high tides, and forming a route

				communes in the project area	of transportation. - The communes of the district is located in the project area do not have ethnic minorities;
15	Ben Tre	23/10/2015	Department of Agriculture and Rural Development Ben Tre Province	- Representatives of the Department of Agriculture, representatives of the Department of the province; - Representatives of Ba Tri district and Thanh Phu district	- Communes in the project area do not have ethnic minorities; - The local looks forward to participating in the project and the Department of Agriculture and Rural Development will coordinate with related units to build projects;

Annex 2: Outline and Elements of an EMDP

Executive Summary

This section describes briefly the *critical facts, significant findings* from the social assessment, and *recommended actions to manage adverse impact (if any)* and *proposed development intervention activities* on the basis on the social assessment results.

I. Description of the Project

This section provides a general description of the *project goal, project components, potential adverse impact (if any) at the project and subproject levels*. Make clear the identified adverse impact at two levels – project and subproject.

II. Legal and institutional framework applicable to EM peoples

III. Description of the sub-project population

- Baseline information on the demographic, social, cultural, and political characteristics of the potentially affected EM population, or EM’s communities.
- Production, livelihood systems, tenure systems that EM may rely on, including natural resources on which they depend (including common property resources, if any).
- Types of income generation activities, including income sources, disaggregated by their household member, work season;
- Annual natural hazards that may affect their livelihood and income earning capacity;
- Community relationship (social capital, kinship, social network...)

IV. Social Impact Assessment

This section describes:

- ***Methods of consultation*** already used to ensure free, prior and informed consultation with affected EM population in the sub-project area.
- ***Summary of results of free, prior and informed consultation*** with affected EM population. Results includes two areas:
 - ***Potential impacts of subprojects*** (positive and adverse) on their livelihoods of EM in the project area (both directly and indirectly);
 - ***Action plan of measures*** to avoid, minimize, mitigate, or compensate for these adverse effects.

- Preferences of EM for support (from the project) in development activities intended for them (explored through needs assessment exercise conducted during the social assessment)

V. Information Disclosure, Consultation and Participation:

This section will:

- a) describe information disclosure, consultation and participation process with the affected EM peoples that was carried out during project preparation in free, prior, and informed consultation with them;
- b) summarizes their comments on the results of the social impact assessment and identifies concerns raised during consultation and how these have been addressed in project design;
- c) in the case of project activities requiring broad-based community access and support, document the process and outcome of consultations with affected EM communities and any agreement resulting from such consultations for the project activities and safeguard measures addressing the impacts of such activities;
- d) describe consultation and participation mechanisms to be used during implementation to ensure Ethnic minority peoples participation during implementation; and
- e) confirm disclosure of the draft and final EMDP to the affected EM communities.

VI. Proposed Development Activities: An action plan of measures to ensure EM in the subproject area receive social and economic benefits culturally appropriate to them, including, where necessary, measures to enhance the capacity of the local project implementing agencies.

VII. Institutional Arrangement: This section describes institutional arrangement responsibilities and mechanisms for carrying out the various measures of the EMDP. It also describes the process of including relevant local organizations and NGOs in carrying out the measures of the EMDP.

.VIII. Grievance Redress Mechanism: This section describes the procedures to redress grievances by affected Ethnic minority peoples. It also explains how the procedures are accessible on a participatory manner to Ethnic minority peoples and culturally appropriate and gender sensitive.

IX. Monitoring & Evaluation: This section describes the mechanisms and benchmarks appropriate to the project for monitoring, and evaluating the implementation of the EMDP. It also specifies arrangements for free, prior and informed consultation and participation of affected Ethnic minority peoples in the preparation and validation of monitoring, and evaluation reports.

X. Budget and Financing: This section provides an itemized budget for all activities described in the EMDP.

Annex 3. Generic Terms of Reference for Social Assessment

(Adapted with minor changes from the World Bank Social Analysis Sourcebook: Incorporating Social Dimensions into Bank-Supported Projects, 2003)

Social assessment is the instrument used most frequently by the Borrower to analyze social issues and solicit stakeholder views for the design of World Bank-supported projects. Social assessment helps make the project responsive to social development concerns, including seeking to enhance benefits for poor and vulnerable people while minimizing or mitigating risk and adverse impacts. It analyzes distributional impacts of intended project benefits on different stakeholder groups, and identifies differences in assets and capabilities to access the project benefits.

A social assessment is made up of analytical, process, and operational elements, combining (a) the *analysis* of context and social issues with (b) a participatory *process* of stakeholder consultations and involvement, to provide (c) *operational* guidance on developing a project design, implementation, and monitoring and evaluation (M&E) framework. World Bank staff then (a) provide guidance and technical assistance to the Borrower (and consultants) to undertake the social assessment, and (b) verify, assess and appraise the Borrower's social assessment findings, as an integral part of their social analysis.

This appendix provides a generic Terms of Reference for social assessments. This Terms of Reference is offered as guidance only; task teams are expected to assist the Borrower in adapting this general framework based on country, sector and project specific needs and specificities. The scope and depth of the social assessment should be determined by the complexity and importance of the issues studied, taking into account the skills and resources available. If requested, the World Bank would also consider supporting related programs of capacity building in social assessment processes.

To the extent possible, the project social assessment should build on existing data and analysis relevant to the sector and project. Consideration should be given to doing the social assessment in two stages, by first conducting a Rapid Context Assessment of available data, identify stakeholders and key issues, and undertaking a gap analysis of where additional data or consultations are required. Based on that, an update and further detailing of the Terms of Reference may be done.

Introduction

This section should state the purpose of the Terms of Reference, identify the development project to be assessed and explain the implementing arrangements for the social assessment.

Background Information

Pertinent background for potential parties who may conduct the social assessment, whether they are consultants or government agencies, would include a brief statement of the rationale for the project, its intended objectives, a description of its major components, the implementing agency(ies), its current status and timetable, and whether there are any associated projects.

Purpose and Objectives

Summarize the general objectives and scope of the social assessment, briefly lay out the main design and methodological issues related to completing the social assessment, and discuss its timing in relation to the project preparation, design and implementation.

Task 1: Description of the Proposed Project

Provide a full description of the project to the extent known when the social assessment is undertaken. Include the following information: location, size, schedule and planned sequence of activities, resources available, expected implementation arrangements and life span. If the proposed project has more than one component, describe each one as it relates to social analysis.

Task 2: Description of the Socio-Cultural, Institutional, Historical and Political Context

Conduct a rapid review of available sources of information to describe the socio-cultural, institutional, historical and political context in which the project operates. The review should include qualitative descriptions and quantitative indicators of development trends relevant to the project, such as significant demographic changes, patterns of asset ownership and livelihoods, external political or economic environment, etc. The purpose of this exercise is to describe what constraints and opportunities the context poses to the project.

- *Socio-cultural context:* Describe the most significant social and cultural features that differentiate social groups in the project area. Describe their different interests in the project, and their levels of influence. In particular, explain any particular effects the project may have on the poor and excluded. Does the project offer any opportunities to influence the behavior of and outcomes for such groups? Are there any known conflicts among groups that may affect project implementation?
- *Institutional context:* Describe the institutional environment; consider both the presence and function of public, private and civil society institutions relevant to the operation. Are there important constraints within existing institutions, e.g. disconnect between institutional responsibilities and the interests and behaviors of personnel within those institutions? Or are there opportunities to utilize the potential of existing institutions, e.g. private or civil society institutions, to strengthen implementation capacity?
- *Historical context:* Describe the “big picture,” those conditions in the history of the country that might uniquely impinge upon the project. If a project proposes to restructure an industry that had great importance and visibility in the national economy, it may be reasonable to assume that industrial layoffs would be affected by political economy issues. In a country with a history of tension between ethnic or religious groups, the operation may need to be extra-sensitive to differential impacts on those groups.
- *Political context:* Describe the political background relevant to the project. Political instability, for example, could affect long-term project planning, as could an election between the project design and implementation phases.

Task 3: Legislative and Regulatory Considerations

Review all national legislation and regulations pertinent to the project, as well as the broader policy and reform context within which the project takes place. Pay particular attention to laws and regulations governing the project’s implementation and the access of poor and

excluded groups to goods, services and opportunities provided by the project. In addition, review the enabling environment for public participation and development planning. Social analysis should build on strong aspects of the legal and regulatory systems to facilitate program implementation and identify weak aspects while recommending alternative arrangements. (The TOR should specify those that are known and require the consultant to investigate other arrangements.)

Task 4: Key Social Issues

The social analysis provides the baseline information for designing the social development strategy. The analysis should determine what the key social and institutional issues are in relation to project objectives; identify the key stakeholder groups in this context and determine how relationships between stakeholder groups will affect or be affected by the project; and identify expected social development outcomes and actions proposed to achieve those outcomes. Social development outcomes are the socially relevant results the project is expected to achieve, such as poverty reduction, equity and inclusion, strengthening of social capital and social cohesion, and promotion of accountable and transparent governance, as well as the mitigation of adverse impacts arising out of the project.

The key elements and entry points for the social analysis relevant to the project encompass:

(a) Social diversity, vulnerability and gender: Examine how people are organized into different social groups, based on the status ascribed to them at birth – according to their ethnicity, clan, gender, locality, language, class, or some other marker—or on the status or identity they have achieved or chosen—civil servant, industrial laborer, white collar worker, environmentalist, etc. Importantly, an analysis of social diversity also includes looking at the ways in which such diversity interacts with social and power relations and the implications this has for questions of access, capabilities and opportunities. Likewise, it is important to identify vulnerable social groups and understand their issues.

(b) Institutions, rules and behavior: Examine social groups' characteristics, intra-group and inter-group relationships, and the relationships of those groups with public and private (e.g. market) institutions (including the norms, values and behavior that have been institutionalized through those relationships). Such an analysis should provide a detailed assessment of the formal and informal organizations likely to affect the project and the informal rules and behaviors among them. Possible institutional constraints and barriers to project success, as well as methods to overcome them, should be described.

(c) Stakeholders: Identify the various groups who have an interest or a stake in the project. Stakeholders are those who are likely to be affected by a project, as well as those that may influence the project's outcomes. In addition to the beneficiaries of the project and other groups directly affected by it, stakeholders may include organized groups from the public and private sectors as well as civil society who have an interest in the project. The characteristics, interests and likely influence of various groups in the development process are the subject of stakeholder analysis.

(d) Participation: Examine opportunities and conditions for participation by stakeholders – particularly the poor and vulnerable—in the development process (e.g. contributing to project design, implementation and/or monitoring; influencing public choices and decision-making; holding public institutions accountable for the goods and services they are bound to provide; access to project benefits and opportunities; etc). Otherwise excluded groups affected by the

project as well as project beneficiaries should be brought into the social assessment process and appropriate mechanisms to sustain such participation in project implementation and monitoring should be deployed.

(e) Social risk: Identify social risks (e.g. country risks, political economy risks, institutional risks, exogenous risks, and vulnerability risks, including but not limited to those that may trigger World Bank Safeguard Policies). Social risk analysis examines the social groups vulnerable to stress and shocks and the underlying factors that contribute to this vulnerability. Drawing on this, risk management plans should be prepared with an eye to addressing these concerns during project design, implementation, and monitoring and evaluation.

The analysts examine these key elements in order to assess and describe the opportunities, constraints and likely social impacts of the proposed operation. The consultant should fill the gaps in the information on these issues that the World Bank task team identifies, and should summarize information from other organizations where available.

Task 5: Data Collection and Research Methods

Describe the design and research methodology for the social analysis. In this regard:

- Clarify the research objective by stating the research hypotheses and identifying the social processes and relationships to be examined by the social assessment.
- Build on existing data.
- Clarify the units of analysis for the social assessment: intra-household, household level, as well as communities/settlements and other relevant social aggregations on which data is available or will be collected for analysis.
- Choose appropriate data collection and analytical tools and methods, employing mixed methods wherever possible; mixed methods include a mix of quantitative and qualitative methods, and a mix of data from different units of analysis for triangulation of results.
- Provide the rationale for sampling employed, including criteria for research sites and selection of respondents. Employ representative sampling wherever possible. When this is not feasible (such as when dealing with impacts on a discrete population group, explain the reason and criteria for purposive sampling employed. For purposive sampling or qualitative research, research rigor is enhanced by providing a control group or establishing matching pairs to obtain robust results.
- Establish baselines and/or benchmarks with indicators for use in future monitoring. Indicators should be of such a nature that results and impacts can be disaggregated by gender and other relevant social groups.

Task 6: Strategy to Achieve Social Development Outcomes

Identify the likely social development outcomes of the project and propose a social development strategy, including recommendations for institutional arrangements to achieve them, based on the findings of the social assessment. The social development strategy could include measures (a) that strengthen social inclusion by ensuring that both poor and excluded groups and intended beneficiaries are included in the benefit stream and in access to opportunities created by the project (i.e. a *social inclusion framework*); (b) that empower stakeholders through their participation in the design and implementation of the project, their access to information, and their increased voice and accountability (i.e. a *participation*

framework); and (c) that enhance security by minimizing and managing likely social risks and increasing the resilience of intended beneficiaries and affected persons to socioeconomic shocks (i.e. a *risk management framework*).

Additionally, the strategy should address broader questions of social sustainability, by assessing (a) the resilience of project benefits, institutional mechanisms, etc, to risks over time, and (b) how well integrated the approach is into the larger set of development interventions in the country and sector in order to minimize inconsistencies and take advantage of potential synergies.

The social development strategy is expected to increase the benefits to the poor and vulnerable as well as reduce social and political risks that could undermine the gains of development, thereby increasing the equity and social sustainability of projects.

Task 7: Implications for Analysis of Alternatives

Review the proposed approaches for the project, and compare them in terms of their relative impacts and social development outcomes. Consider what implications the findings of the social assessment might have on those approaches. Should some new components be added to the approach, or other components reconsidered or modified? Has the social assessment revealed the need for heretofore unnecessary risk-management measures? If the social analysis and consultation process indicate that alternative approaches are likely to have better development outcomes, such alternatives should be described and considered, along with the likely budgetary and administrative effects these changes might have.

Task 8a: Recommendations for Project Design

Provide guidance to project management and other stakeholders on how to integrate social development issues into project design.

Task 8b: Recommendations for Implementation Arrangements

Provide guidance to project management and other stakeholders on how to integrate social development issues into project implementation arrangements.

As much as possible, suggest specific action plans or implementation mechanisms to address relevant social issues and potential impacts. These can be developed as integrated or separate action plans, for example, as Resettlement Action Plans, Indigenous Peoples Development Plans, Community Development Plans, etc.

Task 9: Developing a Monitoring Plan

Through the social assessment process, a framework for monitoring and evaluation should be developed. To the extent possible, this should be done in consultation with key stakeholders, especially beneficiaries and affected people. The framework shall identify expected social development indicators, establish benchmarks, and design systems and mechanisms for measuring progress and results related to social development objectives. The framework shall identify organizational responsibilities in terms of monitoring, supervision, and evaluation procedures. Where possible, participatory monitoring mechanisms shall be incorporated.

- Establish a set of monitoring indicators to track the progress achieved. The benchmarks and indicators should be limited in number, and should combine both

quantitative and qualitative types of data. The indicators should include *outputs* to be achieved by the social development strategy; indicators to monitor the *process* of stakeholder participation, implementation and institutional reform; indicators to monitor social risk and social development *outcomes*; and indicators to monitor *impacts* of the project's social development strategy. It is important to suggest mechanisms through which lessons learned from monitoring and stakeholder feedback can result in changes to improve the operation of the project. Indicators should be of such a nature that results and impacts can be disaggregated by gender and other relevant social groups.

- Define transparent evaluation procedures. Depending on context, these may include a combination of methods, such as participant observation, key informant interviews, focus group discussions, census and socio-economic surveys, gender analysis, Participatory Rural Appraisal (PRA), Participatory Poverty Assessment (PPA) methodologies, and other tools. Such procedures should be tailored to the special conditions of the project and to the different groups living in the project area.
- Estimate resource and budget requirements for monitoring and evaluation activities, and a description of other inputs (such as institutional strengthening and capacity building) needed to carry it out.

Expected Outputs, Schedule and Reporting

Prepare a detailed schedule of the social assessment activities described in the terms of reference. Explain what kinds of outputs the social assessment plans to produce, and note when the team will give preliminary and final drafts of each output to the World Bank staff conducting social analysis. Include relevant charts and graphs, statistical and qualitative analysis and, in some cases, raw data obtained during the social assessment.

In addition to the outputs of the social assessment, include a note on the social assessment process itself, stating any difficulties faced by the team in conducting the social assessment, and recommend the most appropriate dissemination strategy for the findings. Provide the report and accompanying materials in English and the local language.

Consultant Team

Social assessment usually requires a multidisciplinary team to meet the different demands of the assignment. The terms of reference should specify key positions on the team. Individual time requirements should be specified for each assignment. One team member should be appointed team leader, and be responsible for the team's performance.

