

**KIEN GIANG PROVINCIAL PEOPLE'S COMMITTEE
DEPARTMENT OF AGRICULTURE AND RURAL DEVELOPMENT**

**MEKONG DELTA INTEGRATED CLIMATE RESILIENCE AND
SUSTAINABLE LIVELIHOODS PROJECT (MD-ICRSL)**

ETHNIC MINORITY DEVELOPMENT PLAN

**INFRASTRUCTURE TO PREVENT COASTAL EROSION
AND TO SUPPORT FOR AQUACULTURE PRODUCTION
IN AN MINH AND AN BIEN, KIEN GIANG PROVINCE**

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PROJECT OWNER

CONSULTANT

**VIETNAM ACADEMY FOR WATER
RESOURCES**

March, 2016

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ABBREVIATIONS

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
MD-ICRSL	Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods
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 Assistance
PC	People's Committee
PPMU	Province Project Management Unit
SVB	State Bank of Vietnam
USD	United States Dollar
VND	Vietnamese Dong

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 taking of land includes the exercise of possession when the proprietor has allowed and benefited from others' occupation of the area. In addition, displaced 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 Peoples</i>	Is equivalent to <i>ethnic minority peoples</i> in Viet Nam, and refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees: (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, social, economic, social 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 household, (iv) the landless, (v) ethnic minority groups and (vi) the social-aided households.

Culturally appropriate Means having regard for all facets of 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. The Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods Project

The Government of Vietnam and the World Bank is preparing “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, Vinh Long 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. Subproject description

"An Minh, An Bien, Kien Giang province" sub-project is one of the sub-projects under Component 4 (Peninsula area). The project area is located in 2 western coastal districts of

Kien Giang Province: An Minh and An Bien, far about 30 km from Rach Gia City in Kien Giang province to the northwest. An Bien and An Minh Districts, in Kien Giang Province are low-lying areas and located along the west coast, impacted by sea level rise and storms (especially during the southwest monsoon). The region is currently facing a shortage of fresh water needed for agriculture production and daily life. The objective of this subproject is to enhance the infrastructures to improve capacity to response to climate change and reduce disaster risk. It will foster sustainable livelihoods, improve living standards of the community, and will contribute to the sustainable development of the east coast of Kien Giang province in the context of climate change. Below table presents proposed investments under Kien Giang subproject.

Table 1 - List of Proposed Investments

	1 st year	2 nd year	3 rd year	4 th year	5 th year	6 th year
A. ZONE 1: Increase coastal mangrove belts and upgrade of coastal dikes						
1. Planting mangrove along the coast line (150 ha)						
a. Survey and design	■					
b. Seedings		■	■			
c. Planting		■	■			
d. Monitoring		■	■			
2. Planting mangrove in aquaculture systems (250ha, 100HHs)						
a. Establish farmer groups/coops		■				
b. Survey and design of mangrove plantation	■					
c. Demonstration models (blood cockles, black tiger shrimp)		■	■			
d. Training for farmers (100 HHs)	■	■	■	■	■	
e. Earthwork + seedings (to meet 50% of mangrove)		■	■			
f. Toilet		■	■			
g. Certification of aquaculture-mangrove eco farming (1,200ha)			■			
3. Study on coastal protection solutions		■				
4. Infrastructure to prevent coastal erosion (10km wave breaker)		■	■	■		
B. ZONE 2. Brackish water aquaculture (54,131ha)						
1. Support biosecurity shrimp culture (total 5,000 ha)						
a. Establish farmer groups/coops (500ha/coop)		■	■			
b. Demonstration single species crops (two crops of shrimp)		■	■			
d. Demonstration rotation crops (shrimp and crab, seabass, blue crab...)		■	■			
e. Training for farmers (5000 HHs, ~1ha/hhhs)		■	■			
f. Infrastructure for improving water quality and biosecurity		■	■			
2. Integrated BW aquaculture + Fresh water crops (2,500 ha)						
a. Establish farmer groups/coops		■	■			

		1 st year	2 nd year	3 rd year	4 th year	5 th year	6 th year
	b. Demonstration models (shrimp- rice, shrimp- rice/prawn...)						
	c. Training for farmers (2,500 HHs)						
	d. Infrastructure for improving water quality and biosecurity						
	3. Water control infrastructure to prevent high tide						
	a. Construct additional sluice gates (9 gates)						
	C. Linking farmers to markets						
	1. Promoting contract farming (i.e. materials, events, etc.)						
	2. Product branding						

(Sources: FS of subproject)

1.3. Objective of Ethnic Minority Development Plan (EMDP)

This EMDP was developed following the guidance set forth in EMPF with the main objective 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 objective of the EMDP to ensure: a) project’s potential adverse impact on EM’s livelihood/ income generation activities, if any, shall 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.

II. POLICY FRAMEWORK FOR ETHNIC MINORITIES

2.1. National Legal and Policy Framework for Ethnic Minorities

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

- i. The Socialist Republic of Vietnam is a unified nation of all ethnicities living together in the country of Vietnam.
- ii. All the ethnicities are equal and unite with, respect and assist one another for mutual development; all acts of discrimination against and division of the ethnicities are prohibited.
- iii. The national language is Vietnamese. Every ethnic group has the right to use its own spoken and written language to preserve its own identity and to promote its fine customs, practices, traditions and culture.
- iv. The State shall implement a policy of comprehensive development and create the conditions for the minority ethnicities to draw upon/further their internal strengths and develop together with 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 (e.g. 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.

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, and the employees of the organizations for EM.

The decision No. 29 / QD-TTg dated 20/ 05/2013 by the Prime Minister provides a number of support policies in resolving land and jobs for ethnic minority households minorities, living hard, permanent stable, legitimate locally in 13 provinces city Mekong delta region including Long An, Tien Giang, Ben Tre, Dong Thap, Vinh Long, Tra Vinh, Soc Trang, Hau Giang, An Giang, Kien Giang, Bac Lieu, Ca Mau and Can Tho city. The policies support focus to: Support for residential land; Support loans for job creation, development of production.

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
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.
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-UBDT 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-UBDT 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-UBDT dated 12-January-2007 of the Committee for Ethnic Minorities Affair on the strategy of media for the program 135-phase 2

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

The OP 4.10 aims at avoid potentially adverse effects on indigenous people and increase activities to bring about 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) Speak an 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. 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.

III. SOCIO-ECONOMIC SITUATION OF ETHNIC MINORITIES IN KIEN GIANG

Kien Giang Province is one of the provinces with the highest economic growth rate in the country of (GDP) with an average growth rate of 10.5%. Per capita income is 44.792 million. The proportion of agriculture and fishery is 38.8%, industry - construction 24.03%, 37.15% services. Infrastructure gradually improved, especially in areas where ethnic minorities live; bridges, roads, irrigation, electricity, water, schools, health centers, markets have been built. The proportion of ethnic minorities with access to electricity is over 95%, an increase of 17% compared with 2009. The percentage of households using safe water is 76%. From the

national poverty alleviation fund, (Programs 135 and 134), Kien Giang has invested in the construction of bridges, roads, irrigation canal dredging, construction of health centers and schools. In addition, other programs/support have been implemented such as investment funds from state, local ethnic propaganda promoting Khmer spirit of mutual support, allocation of land to build houses for poor families without housing, water supply, support loans to develop production, allocation of agricultural land for poor ethnic HH who lack productive land, etc. The main objectives of EM development in Kien Giang province until 2020, is to focus on economic development, through enhancing EM living standard, reducing gap of living standard among EMs and percentage of poor households of Khmer EM. The main expected results are the following: schools are built with concrete; children in school age are enrolled in schools; EM people use of radio and television increased; ratio of EM poor households is 4%; 100% EM people has electricity and clean water; 100% of hamlets have adequate roads for transportation by motorcycle.

3.1. EM in project areas

The subproject is located entirely in 2 districts: An Minh and An Bien, in Kien Giang province, in the southwestern province of Vietnam with a total area of 6348.5 km². The population (end 2014) is about 1,738,800 people (density of 280 people/km²) belonging to 27 ethnic groups, of which the three main ethnic groups are Kinh, Khmer and Hoa. Kinh represent 85.12%. Other groups, account for 14.88% (58,777 households with 258,733 people). Khmer people is the largest EM group with 50,936 inhabitants, accounting for 12.49%, the Hoa people has 7,575 households with 30,870 people, accounting for 1.77%; other ethnic minorities with 1,042 people, 278 households, accounting for 0.06%. Among the ethnic groups, the Khmer is the poorest and most vulnerable group, while the Hoa have an equal standing with the Kinh.

The EM people have the same land tenure rights as the Kinh people. However, 75% of EM people in the two districts are landless. Many of them lives on the public land outside the sea dike without titles on land. Through a government program, EM are allocated a plot of land and house to secure their land tenure. In addition EM also receive assistance and livelihood supports (i.e. monthly allowances, varieties of rice, pig, chicken, etc.) in accordance with the national policy or EM.

As indicated below, no EM is affected through land acquisition by the Project. However, landless HH, such as Khmer HH, are not targeted by the Project, as the Project focus on land owners with the proposed livelihood adaptation model. To avoid increasing inequality between better-off farmers and the poor (mainly landless and Khmer), there is a need for livelihood support for the landless in the subproject areas.

3.1.1. EM in An Bien district

An Bien district is located in U Minh Thuong region with 40.029 ha natural land and 33.556 ha of production land. Population of the district is 125.196 persons (29.084 households). There is Khmer ethnic minority group living in the project area, with the percentage amounting to about 14.11 % of the population, not equally shared in the different communes

of An Bien district; Khmer ethnic groups are not separated and isolated from the Kinh majority and have inter-married with the Kinh. However, most are poor and landless, working as hired laborers in rice farming and aquaculture farming (catching wild snail, shell to sell to shrimp farmers, etc.).

Khmer people in the project area, similar to other Khmer people in Mekong Delta of Vietnam, are beneficiaries of the National Target Programs, as guided by (i) Decision 29 of the Prime Minister, in which, each household can borrow 30 million VND a piece of land for housing, (ii) Decision 74, in which, the Khmer households which used their land as mortgage for a debt can borrow a loan amounting to 33 million VND (including 30 million VND from National fund and 3 million VND from the provincial fund) to take back the land.

Table 3- Khmer population in the communes of An Bien District

	Households	Population
Total	29.084	125.196
Kinh	15.645	121.360
Khmer	3.336	13.301
others	138	500

(Sources: District year report, 2014)

The poor households in the project area often have little agricultural land (partly due to selling off, partly from no inheritance or inability to buy). Other reasons of poverty are lack of job, unstable incomes, lack of production skill and low education. The government implements poverty reduction programs for ethnic minorities through local mobilization of resources and support from the state budget. These programs include, development of models of production, employment, rural vocational training, and technical guidance to adapt or improve current production models, and support policies for preferential loans. Following implementation of these programs, the annual number of poor households dropped (in 2014 the number of poor households in the district decreased of 317). For example, support and training for pig breeding models, support for housing, and support for food were applied in many communes, and helped poor ethnic households come out of poverty.

3.1.2. EM in An Minh district

An Minh district is located nearby Ca Mau province; it includes 11 communes and town with natural area of 590,50 km² and population of 117.883 persons. Agricultural land is 43.982 ha (74,47%), forest land is 8.633 ha (14,62%), remaining land area is residential land and other lands. Total labor force of the district is 63.409 persons, Labor in agriculture, forestry, aquaculture accounts for 50.132 persons (particularly aquaculture employs 35.562 persons). Agriculture, forestry and aquaculture, industry and construction account for 74,47% -14,16% - 11,49%, respectively.

An Minh district includes 3 ethnic groups, including Kinh, Khmer and Hoa. In which, ethnic minorities represent only 2.2% of the total population with 846 households (2.805 persons)

located in 6/11 communes and town (2014). Ethnic minority are located mainly in Dong Hoa and Dong Thach communes. Most of the EM people are Khmer (82%),

The An Minh district has 168 poor and 115 near poor EM households among the 846 households, accounting for 33,45%. Most poor and near poor households lack of production land. Some households have also no residential land (70 households). Main income sources of EM households are agriculture, aquaculture, and hired labor.

3.2. Result of EM households survey

The EM household survey is based on the survey conducted for the Social Assessment of the sub-project which included EM household. It is also based on the IOL conducted for the preparation of the RAP for this sub-project. Both quantitative and qualitative methods were used.

Quantitative methods: Survey with questionnaires for social assessment: among 36 EM households from all commune in the subproject area.

Qualitative methods: Desk study of available documents related to the project and district annual report; Organizing consultation meeting, in-depth interviews, group discussion with various stakeholders, including the CPC and the local mass organizations; organizing focus group discussion, in-depth interviews with EM households, who are the beneficiaries of the project.

Field visit: The Consultant conducted field visits, interviewed people, to clarify the results of the in-depth interviews; The Consultant also interviewed key informants and conducted focus group discussions to complement the evaluation results.

Table 4- Scale of EM households surveyed

No.	Method	Number of participants	Number of time
1	Interview by questionnaire	36	36
2	Focus group discussion	26	5
3	Key informant interview	14	11
	Number of participants	76	52

Educational level

Education reflects the quality of labor resources and the capacity for training of the people in the subproject area. Survey results show that the majority of people have low education; more than 50% of people never go to school or drop-out at primary school; ratio of high school graduation or higher education level is very low.

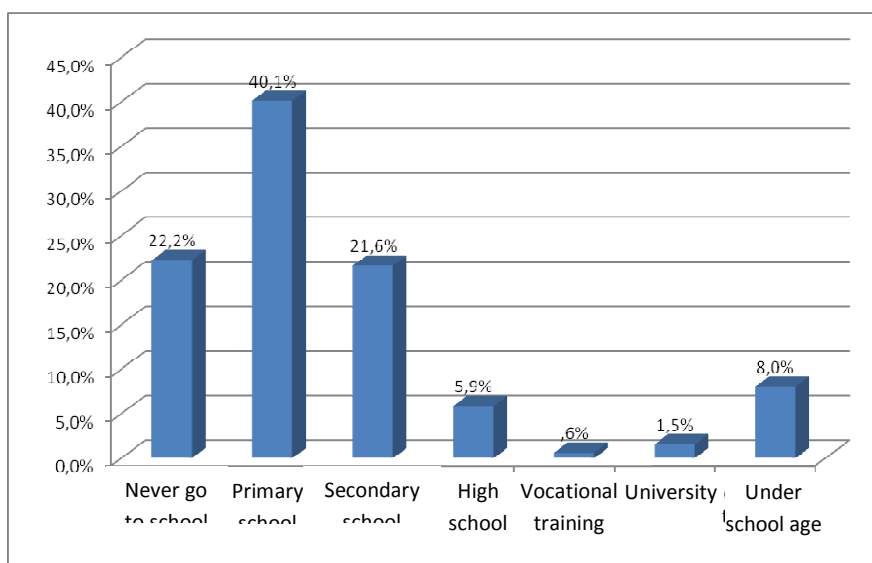


Figure 1. Ratio of affected people by education levels

People have low level of education in the subproject area due to low living standards, low production, and unstable incomes. Consequently, students drop out of school early to help earn income for the family. The high dropout rate in the area is also due to poor access due to remote locations with few roads (high reliance on river transportation) and schools are quite distant (over 20 km for secondary schools in some areas).

Table 5. Ratio of affected people by education levels in 2 districts

Education level	An Minh	An Bien
Never go to school	23.5%	21.0%
Primary school	40.1%	40.1%
Secondary school	21.6%	21.6%
High school	8.0%	3.7%
Vocational training	0.0%	1.2%
University	2.5%	0.6%
Under school age	4.3%	11.7%

Major employment and incomes of affected people

People have considerable difficulties in seeking jobs with stable incomes. Although the two districts have large agricultural land areas, agricultural production faces challenges from climate change-related impacts and limited infrastructures. Fishery and aquaculture are the main livelihood sources, giving higher incomes for local people.

Table 6. Ratio of affected people by occupations in 2 districts

Occupation	An Minh	An Bien
Agriculture	3.7%	1.9%
Fishery	11.7%	4.9%
Aquaculture	18.5%	9.3%
Business	1.9%	7.4%
Trade	1.9%	4.3%
Worker	4.3%	5.6%
State employee	0.6%	2.5%
Part time labor	24.7%	22.8%
Driver	0.6%	0.0%
Unemployment	4.3%	4.9%
Student	13.0%	17.9%
Retirement	5.6%	4.9%
Under labor age	8.0%	13.0%
Other	1.2%	0.6%

Housing

Most people's houses are simple with leaf or metal roofs. Concrete houses and semi-concrete houses are very few in An Bien. Among Khmer HH, the quality of housing is worse than those of the Kinh (see Table 9). Majority of people said they would use the compensation money to repair their houses or to buy new land to build a more stable house.

Table 7. Ratio of affected people by houses in 2 districts

Housing types	An Minh	An Bien
Concrete house	2.9%	2.9%
Semi-concrete house	22.9%	11.4%
Wood house	28.6%	34.3%
Simple house	45.7%	45.7%
Temporary house	0.0%	5.7%

Table 8: Housing situation of ethnic minorities

Housing types	Kinh	Khmer	Total
Concrete house	4,3%	0,0%	2,9%
Semi-concrete house	23,4%	4,3%	17,1%
Wood house	42,6%	8,7%	31,4%
Simple house	29,8%	78,3%	45,7%
Temporary house	0,0%	8,7%	2,9%

IV. SOCIAL IMPACTS OF THE SUBPROJECT

4.1. Positive impacts

This sub-project aims to improve infrastructures to protect coastal communities and current production systems in the face of climate change and sea level rise. Based on the social assessment, the sub-project has the following potential positive aspects.

Table 9: Positive Impacts and Measure to Maximize project benefits

Positive impacts	Description of investments	Measures to maximize project benefits
Preventing high tides, sea water flooding into production areas causing flooding, inter-regional transport links	<ul style="list-style-type: none"> - Construction of the remaining 9 sluice gates - Planting 10 km of mangrove combined with wave-breakers along the coast; 	<ul style="list-style-type: none"> - Full consultations 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	<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.
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 of livelihood model, agricultural activities, and 	<ul style="list-style-type: none"> - Suggested activities for the project to improve the lives of ethnic minority people and poor people. - Create more employment opportunities for the landless and limited production - Clarify the organization and operation responsibilities for

	market access	<p>capacity building and training for the project implementation units to ensure that ethnic minorities benefit from the project.</p> <ul style="list-style-type: none"> - The annual progress reports will assess to 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.
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4.2. Adverse impacts

The impact presented in this EMDP is an estimation based on proposal subproject. Detailed impact (household level) for ethnic minorities will be assessed and updated properly and sufficiently once detailed design will be completed.

Table 10: Potential Negative Impacts and Mitigation Measures

Impacts	Description of potential negative impacts	Mitigation Measures
Waterway transportation	- 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;

Impacts	Description of potential negative impacts	Mitigation Measures
Affected livelihoods	<ul style="list-style-type: none"> - Some households may be affected with agriculture product during the construction or travel restrictions; 	<ul style="list-style-type: none"> - Avoid interruption of flow in irrigation channels and maintain water quality;
Grave relocation	<ul style="list-style-type: none"> - The proposed subproject will not affect graveyards of EMP 	<ul style="list-style-type: none"> - If relocating graves is unavoidable, conduct free, prior, and informed consultation with affected EMP and compensate them in culturally appropriate manner.
Adverse health impact during construction	<ul style="list-style-type: none"> - During the construction of the works, ethnic minority 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 affected 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.

4.3. Social vulnerabilities

According to the RSA prepared for all sub-projects, the social vulnerabilities related to the Kien Giang subproject are the following:

- Poverty: Poverty rate is high, based on the poverty line applied in Kien Giang province (400,000 VND per capita per month); in Nam Thai commune, the poverty rate is 7.2%. However, there are also many near poor. The focus group discussion involving poor men and women mentioned some critical constraints in poverty reduction program and loan allocation, whereby any poor household receiving loans from the Social Policy Bank are ‘forced’ to be classified “near poor”. Such actions leads to the decline in the numbers of poor households and the increase of the near poor; such classification does not reflect real, true result in poverty reduction. Many poor households are, in fact, excluded from financial support programs.
- High illiteracy rate and poor education facilities have hindered many women from earning higher incomes. As many as 6 out of 8 people who are between ages 30 – 60 in the focal group discussion cannot read or write or have finished just primary schools. With poor qualifications and landlessness, these women are unskilled workers and have low paid and unstable jobs like cutting grass for shrimp farms or guarding for cockle farms.
- Less access to information: Illiteracy also makes it more difficult for women to access to information. Some have not heard about climate change or do not know about available credit programs, how to write an application to favorable loans, or where to ask for loans.
- Threats of future labor force quality: The dropout rate from secondary schools of young adults is also high because the schools are at least 20 km away from their houses and the low willingness of parents to invest in education for their children. This threatens the quality of the future labor force
- Sex- segregation in labor demand: Offshore fishing is not a suitable job for women. When their husbands work over the sea, women just stay at home and do housework. That monotonous life and poverty induce many women to seek for luck from gambling, which further put their family under the risk of bankruptcy.
- Out-migration: Fewer job opportunities push people to leave their home town and move to industrial zones. This family separation has attributed to high divorce rate in the family (about 50% among migrated families).
- No significant impact of religion, ethnicity or gender inequality is observed.
- Employment: Employment opportunities in the area are very limited because of its remote location and poor road infrastructure. There are no large industrial zones in the two Districts. This has resulted in a high out-migration rate (15.2% for Kien Giang in 2011 – no District data available). Focus group participants report that 8 out of every 10 families have at had least one member who has migrated to cities and industrial zones such as Binh Duong, Ho Chi Minh City, and Dong Nai.

V. CONSULTATION AND DISCLOSURE OF INFORMATION

This EMDP –was prepared on the basis of social assessment and consultation with the EM peoples to offer development opportunities for those present in the subproject area. Free, prior and informed consultations with EM indicated that because there is no adverse impact anticipated for the EM peoples, and that the EMDP was prepared to provide development opportunities to EM peoples, there has been a broad community support from the EM peoples for the subproject implementation.

Consultation methods and content of consultation are described in detail in Annex 1.

5.1. Consultation outcome

In the *first public consultation* (November, 2015), the project information was presented to ethnic minority people in a culturally appropriate manner. A document was prepared and delivered to local people in advance of participation. The key informant discussions were held in five communes in An Minh district and four communes in An Bien district with EM people and other stakeholders (total of 40 people). Ethnic minority households, during consultation, confirmed that they were informed about the consultation, basic information of subproject’s objectives and contents. Ethnic minorities gave broad support for implementation of the subproject. After consultation, EM households and EM community understood negative and positive impacts of the project. They were also consulted on mitigation solutions of negative impacts and how to maximize positive impacts. They agreed with the proposed mitigation solutions of negative impacts as well as development activities in EMDP. The activities proposed ensure they can receive socio-economic benefits that are appropriate to their culture. On the basis of the potential impact of the project, mitigation measures, and the development activities proposed under the EMDP, the EM communities expressed their broad support for the subproject implementation. In addition, they have specific concerns on two issues: (i) recommendations related to the subproject during construction; and (ii) proposals related to community development.

During construction of the subproject:

- The implementation of subproject should proceed quickly to minimize the impact;
- Strengthen work and traffic safety for worker and local people;
- Ensure water supply for production of major crops.

Community development:

- Support development and replication of pig and chicken raising model, vegetable planting;
- Training on agricultural production skills and non-agricultural jobs such as sewing, embroidery, knitting...;
- Supporting clean water systems, toilets, road, rural bridges to ensure environment, stable lives, to increase chance of good exchange...;
- Enhance cultural classes, law and policy dissemination;

- Support communication activities combined with cultural meetings, organizing community activities to support EM people: building groups, self-managed team, legal support group, technical support group;
- Strengthen communication activities in suitable language of the communities.
- Establish livelihood support for the landless in the sub-project areas or extend from existing development programs
- Encourage agribusiness (particularly vertically integrated companies) companies to extend their value chains to create employment opportunities for the poor.

A *second round of consultation* in An Bien DPC district (Kien Giang province) was conducted on 25 January 2016 with representatives of community, PPC and CPC from two districts. A consultation workshop took place in Can Tho City, on 29 January 2016, following disclosure of draft Ethnic Minority Policy Framework, Ethnic Minority Development Plans and Regional Social Assessment (RSA). Representatives of MARD, of each province (PPC, DONRE, DARD, and CEMA) and affected districts (DPC) joined the workshop. A presentation of the safeguard documents was done by the Consultant. Provinces and District agreed with the proposed documents and the livelihood models proposed. Regarding the EMPF and the EMDP, the following comments and concerns were provided:

- Provinces already provide support to EM through existing programs (i.e. housing and develop livelihoods);
- For landless HH some provinces allocate public land; each HH also receives a LURC;
- In most of the province, poverty incidence is still high among Khmer; majority of Khmer households works as hired labor in particular for aquaculture facilities;
- A number of Khmer households also migrate to urban centres and especially to Ho Chi minh City; however most of them prefer to stay in their area close to community and pagodas;
- A large number of Khmer households are living along some sections of existing dykes and rely on fisheries; in case of rehabilitation of these dykes, relocation of EM households, there is a risk that they will lose their livelihoods; this should be avoided; specific approach is needed for relocation of EM people;

Free, prior and informed consultations with EM indicated that because there is no adverse impact anticipated for the EM peoples, and that the EMDP was prepared to provide development opportunities to EM peoples, there has been a broad community support from the EM peoples for the subproject implementation. Comments and concerns have been taken into account for the preparation of the final documents.

5.2. Community consultation during the EMDP implementation

In order to ensure continued *free, prior and informed* consultation with EM peoples during EMDP implementation, the following EM community consultation framework will be used during the EMDP implementation. Based on results of household consultation, an action plan

and detail mitigation solution will be determined to implement, monitor and assess. This requirement includes main factors as follows.

- Eligible criteria for compensation measures;
- Livelihood recovery;
- Conflict resolution;
- Monitoring and evaluation, and,
- Budget and execution plan,

During EMDP implementation, the same consultation approach (already used during EMDP preparation) will be adopted. Consultation will be conducted on the basis of free, prior, and informed manner, and in a participatory manner, to see if EM communities have any additional feedback, and to check whether there any additional subproject impact that arises but were not anticipated during EMDP preparation. Where necessary, the way the EMDP is implemented, would be further elaborated, or updated in terms of methods of delivery to ensure the activities are carried out in a manner that are appropriate to the target EM peoples.

The EM communities benefited from this EMDP should be involved in both implementation, and monitoring & evaluation to maximize the intended purpose of the EMDP. PPMU will take the lead of this EMDP through implementation with An Minh and An Bien DPCs (in collaboration with Ethnic Division, Agriculture Division, Labor, Invalid and Social Affair Division).

In the event where there are adverse impact identified before subproject implementation, particularly when the detailed engineering design are available during implementation of the Project, the consultation methods, as mentioned above, should be used to collect feedback from the affected EM peoples. Alternatives of technical engineering design should be explored to avoid adverse impact. In case where such impact could not be avoided, such impact should be minimized, mitigated, or compensated for.

In case where adverse impact are identified (when the technical design/construction methods are clear), affected EMs will be consulted and informed of their entitlements. The EMDP will be updated accordingly and will be disclosed prior to EMDP/RAP implementation.

5.3. Disclosure of EMDP

Once preparation of an EMDP is completed, it needs to be disclosed to affected EM peoples and their communities, i.e. at CPC, DPC, and community hall. The EMDP needs to be disclosed in an appropriate language and manner to ensure affected EM people and their community can conveniently access and can fully understand. The documents are also announced in CPO, MARD, Kien Giang PPC and relating districts, communes and information office of WB in Ha Noi before project submission. In project implementation process, PPMU and local authority at all levels have to ensure that all EM households who

are affected directly by the project will get fully information and invited consultation meeting in implementation process of EMDP.

The EMDP prepared during project implementation must be disclosed locally in a timely manner, before appraisal/approval of these subprojects. An EMDP in English is sent to WB to public on Infoshop in Ha Noi. EMDP in Vietnamese is disclosed in CPO and Kien Giang PPC and relating districts, communes so that EM community and other stakeholders are informed.

VI. PROPOSED DEVELOPMENT ACTIVITIES

As mentioned above, EMDP aims to provide additional socio-economic benefits to EM households under OP 4.10. These activities are related to training, livelihood support, awareness program, capacity building and education support. The main characteristics of the EM in the project area are: i) landlessness; ii) low education level and iii) poor sanitation conditions. During consultation, the ethnic minority community also proposed some activities which have been included.

6.1 Improving community's awareness to climate change adaptation

This component aims to provide awareness campaign regarding climate change adaptation. The purpose is to make the Khmer community more resilient with climate change. The campaign will be provided through 30 training courses in the project area. It aims to target 10% of poor EM people in the subproject area. It will be conducted by a consultant.

6.2 Support to livelihood activities for ethnic minority and poor households

Poor ethnic minority households are often landless or land poor. As proposed in the RSA, for the land poor, livelihood models such as cash crops (chili, gourds...) and livestock (especially cow raising/breeding) have been identified as successful models. The community also proposed pig, chicken raising model, safe vegetable planting as livelihood models. Micro-credit programs, managed by the Women's Union, should also be proposed.

6.3 Create more employment opportunities for the landless and land poor

Lack of job skills has been identified as a reason of poverty especially for Khmer households. Training on agricultural production and non-agricultural skills (i.e. sewing, embroidery, knitting, machinery etc.) should be provided by the Agriculture Extension Center for training on agriculture and by the Women's Union or the Vocational Training Center for non-agriculture training. This component targets around 5-10% of EM households in 15 communes of the project area.

6.4 Capacity building and training for the project implementation units to ensure that ethnic minorities benefit from the project

The Khmer community should be aware of the project's objectives (i.e. type proposed adaptation models, type of support) in order for them to better benefit from the project. Capacity building and training will be given to the community during the project

implementation by a consultant. Specific capacity building will be given to the Khmer community. Special attention will be put on how the Khmer community can be involved in the implementation of the Project.

6.5 Capacity building for mass organizations

Mass organizations (women's union and farmer's union) are key organizations to support the communities. They are present at each level (province, district, commune and village) and are very active in awareness campaign (health, safety, environment etc.), skills training and livelihood support (i.e. micro-credit, agriculture extension). The reinforcement of the reorganization will benefit to the whole community.

Specialized technical assistance on participatory planning and project management will be offered to these mass organizations at commune and village level. The mass organization could then disseminate information and develop participation of the community. It will improve the capacity of the community to participate in project benefits and to enhance their livelihoods.

6.6 Enhance education of the Khmer community

Low education is a characteristic of the Khmer community, low education is also a factor of poverty. Adult literacy campaigns will be developed in 15 communes of the project area. The project will target the young adults (20-35 y/o) who never been to school; 50% of men and 50% of women will be trained. The Vocational Training Center will conduct such training.

This EMDP will be updated before implementation to confirm the above development needs of EM peoples and 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 courses will be designed to ensure that (i) its content fits with the culture of the ethnic minorities, and; (ii) women are encouraged to participate, with women representing at least 50% of the participants.

VII. IMPLEMENTATION ARRANGEMENT

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 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. The EMDP need to submit CPO and Bank review prior approval.

Prior to implementation, this EMDP needs to be updated to a) reflect the detailed steps in implementation of these activities, b) budget required for each of the activities, and c) methods of implementation to ensure these activities are conducted in the way that are the most beneficial and culturally appropriate to the EM peoples.

Table 12: Implementation plan

Activity	Responsible party	Schedule
EMDP preparation		
Disclosure of EMDP at Infoshop	WB	Quarter 1/2016
Disclosure of EMDP of subproject at Kien Giang PPMU, DPC and CPCs	Kien Giang PPMU	Quarter 1/2016
Disclosure of EMDP of subproject at CPO	CPO	Quarter 1/2016
Approval of safeguard policy documents of project and EMDP of sub-project	WB and the GOV	Quarter 2/2016
Training on safeguard policy frameworks for the project officers	CPO and consultants	Quarter 4/2016
Recruiting the independent monitoring consultant	CPO	Quarter 4/2016
EMDP updating	CPO and consultants	Quarter 1/2017
EMDP implementation		
Disseminating project information to AHs	PPMU	Quarter 1/2017
Implementation of development activities	PPMU	Quarter 2/2017
Monitoring internally every month and preparing quarterly reports	PPMU	Quarter 2/2017
Monitoring externally every six months and preparing monitoring reports	Independent monitoring consultant	Quarter 2/2017

VIII. COMPLAINTS MECHANISM AND RESOLUTION

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, 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 incorporate 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. 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.

If the affected EM peoples are not satisfied with the process, compensation or mitigation measures, or any other issue, the EM themselves or EMP's representatives or village leaders can lodge their complaints to the PPC or to the PPMU following the grievance redress mechanism established in the EMDP. 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 exempt 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 steps of Grievance Redress Mechanism 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 People's Committee (DPC) of district

If after 30 days the aggrieved affected household does not hear from the CPC, or if the PAs is not satisfied with the decision taken on his/her complaint, the PAs 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 People's Committee (PPC) of Kien Giang province

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 – At the Court

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 PAPs 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.

In addition to commune level (mentioned above) where EM peoples could lodge their questions/comments, or complaints officially, EM peoples may contact directly PMU using the contact details provided in the Project Information Leaflet in case there have any questions related to subproject goal/scope/impact, etc., or including general compensation and support policies.

Since grievances lodged are primarily related to in the case involving land acquisition, to ensure the grievances are timely and effectively addressed, the following measures should be used by both designed contact points at commune and PMU level.

A recording system/book that records systematically complaints received. This grievance system should be maintained by contact point for GRM at both commune and PMU level. Record should show when the complaints are lodged, by whom, and how, and by whom such grievances are solved, and when the solving is completed. Pending issues that last for more than one month, for example, should be flagged for timely and appropriate action on the part of PMU and local governments.

Where complaints are made verbally, such complaints should be recorded into the grievance recording system for timely following up and resolving.

Leaflets distributed to EM peoples, including those adversely affected as well as beneficiaries should, in addition to project information (as mentioned above) indicate clearly contact person(s) – at commune and PMU level to facilitate the convenient lodging of questions/complaints, if any, from EM peoples.

This section was prepared on the basis of the EMPF (please see the project's EMPF for detail).

IX. MONITORING AND EVALUATION

Responsibility of overall monitoring and implementing EMDP rests with the CPMU. Implementing EMDP will be subjected to independent monitoring by a qualified consultant. The independent monitoring consultant will be hired by CPMU. This service could be integrated into the contract for independent monitoring of the implementation of RAP.

Internal monitoring

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

Table 13. Internal monitoring indicators

Type of monitoring	Internal monitoring indicator
Expenditure and time	<ul style="list-style-type: none"> - Are sufficient personnel arranged for supporting ethnic minority people according to the plan? - Do support activities satisfy the set implementation plan? - Is expenditure for EMDP implementation allocated to implementation agencies timely and sufficiently?
Consultation, grievance and special issues	<ul style="list-style-type: none"> - Are community consultation and information dissemination implemented for EM people according to the plan? - Do focus group discussions have small EM people sample? - How many EM people know about their benefits? - Do EM people know and use grievance mechanism as set up in EMPF? What are the results? - Quantity and type of grievances received (classified by gender and vulnerable group) - Quantity and type of grievances settled (classified by gender and vulnerable group) - Levels of awareness and satisfaction on benefits of EM people. - Satisfaction level on grievance mechanism.

Independent monitoring

An independent monitoring consultant (IMC) will be contracted to monitor the implementation of social safeguards of subprojects, including the EMDP. Monitoring report will be submitted to the World Bank for review and comments. Independent 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.

Table 14. Independent monitoring indicators

Type of monitoring	Independent monitoring indicator
Some basic information about EM households	<ul style="list-style-type: none"> - Location - Number of EM households - Average number of household members, age, literacy - Gender of householder - Access level to medical & educational services, utilities and other social services - Types of land and legal land use status - Occupation and employment - Source and level of income
Satisfaction level of EM people	<ul style="list-style-type: none"> - Do EM people agree with the EMDP implementation? - How do EM people assess about the recovery level of their living standard and livelihood? - How is the awareness level of EM people about grievance process and grievance redress procedure? - Have grievances of EM people been received and solved timely and satisfactorily in accordance with the regime in EMPF?
Effectiveness of support	<ul style="list-style-type: none"> - Are benefits for EM people satisfactory? - Is there any support for vulnerable group?
Other impacts	<ul style="list-style-type: none"> - Are there any unexpected impacts on employment or income of EM people? - How are those unexpected impacts solved (if any)?

This section was prepared on the basis of the EMPF (please see the project's EMPF for detail).

Monitoring indicators are presented in Table 15. When possible these indicators will be disaggregated by gender.

Table 15. Monitoring Indicators of EMDP Activities

No.	Activity	Description	Indicator	Verification (Monitoring tools)
1	Improving community's awareness to climate change adaptation	<ul style="list-style-type: none"> - Improve knowledge regarding climate change - Improve resilience of households 	<ul style="list-style-type: none"> - No. of participants - Knowledge after training and change in practices; - No. of posters/pamphlets distributed - Media programs on TV and radio stations 	<ul style="list-style-type: none"> - List of participants - Interview with trainees
2	Support to livelihood activities for ethnic minority and poor households	<ul style="list-style-type: none"> - Providing HHs with technical trainings to conduct agriculture models successfully; - Supporting HHs to find outputs for agricultural products 	<ul style="list-style-type: none"> - No. of trainings, workshops/meetings, No. of participants; - Skills of participated HHs - Number and/or quantity of outputs sold by the HHs 	<ul style="list-style-type: none"> - Review by Agriculture Extension Centre and Minutes of meetings, - Participating training courses as observer and interview the HHs;
3	Create more employment opportunities for the landless and land poor	<ul style="list-style-type: none"> - Improve knowledge and skills - Support to find new alternative job 	<ul style="list-style-type: none"> - No. of participants - Skills after training and capability in finding job - No. of trainees who found new job - Income generating from the new job - 	<ul style="list-style-type: none"> - List of participants - Report from Vocational Training Center and Women's Union - Work contract with recruiting companies - Interview with trainees
4	Capacity building and training for the project implementation units to ensure that ethnic minorities benefit from the project	<ul style="list-style-type: none"> - Provide HHs with a good understanding of the project objectives and implementation process - Improve involvement of the Khmer community in the implementation and monitoring of the project 	<ul style="list-style-type: none"> - Adaptation models are known and understood by the Khmer community; - No. of khmer participants in project consultation meetings 	<ul style="list-style-type: none"> - List of participants to public meetings - Report from the consultant; - Interviews with participants;

No.	Activity	Description	Indicator	Verification (Monitoring tools)
5	Capacity building for mass organizations	- Participatory planning and project management skills of mass organizations are improved	- Number of members of mass organizations trained; - Number of participants in public meetings	- List of participants; - Report from mass organizations;
6	Enhance education of the Khmer community	- Reduce illiteracy among young men and women who never been to school; -	- Number of adult literacy campaign conducted; - No of trainees (men and women) - Number of men and women who can read and write;	- List of participants; - Interviews with trainees; - Report from Vocational Training Center

X. COSTS AND BUDGET

Budget for EMDP implementation of subproject will be charged on the basis of specific activities proposed in each EMDP. The budget to establish and implement EMDP will be financed using Bank's fund under the project. PPMU will cooperate to implement EMDP to ensure EM present in the subproject area receives socio-economic benefits consistent with their culture.

Table 16. Cost estimate of EMDP

	Activity	Number	Number of benefited HHs/per.	Unit cost/course (VND)	Amount (VND)	Remark
1	Improving community's awareness to climate change adaptation	30 courses	3.000	30,000,000	900 000 000	About 10% of poor EM people in the subproject area are engaged
2	Support to livelihood activities for ethnic minority and poor households	15 model		35,000,000	525 000 000	Poor ethnic minority households, lack of productive land
3	Create more employment opportunities for the landless and land poor	15 communes		100,000,000	1 500 000 000	About 5-10% of EM households to participate in livelihood patterns are invested by the project,
4	Capacity building and training for the project implementation units to ensure that ethnic minorities benefit from the project	15 courses	75	30,000,000	450 000 000	Representative of community and communal society organizations
5	Capacity building for mass organizations	15 communes	60	20,000,000	300 000 000	
6	Enhance education of the Khmer community	15 communes	3,000	40,000,000	600 000 000	Target adults who never went to schools (50% men, 50% women)
	Sub-total				4 275 000 000	
	Contingency (10%)				427 500 000	
	Management cost (10%)				427 500 000	
	Total (VND)				5 130 000 000	
	Total (USD)				228 000	

(Exchange rate: 1 USD = 22,500 VND)

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

1. Consultation Purposes

As part of the social assessment conducted for this subproject, consultation with EM peoples present in the subproject area was conducted in a free, prior and informed manner – as per World Bank’s OP 4.10. The purpose of the consultation is to:

- Inform the ethnic minorities present in the subproject area of the potential project impact (adverse and positive);
- Solicit feedback from the EM peoples (on the basis of identified impact); and
- Propose development activities to ensure EM peoples present in the subproject area could receive socioeconomic benefits (from the Project) that are culturally appropriate to them, and on the basis of the above, confirm if there is a broad community support for the subproject implementation.

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

Consultation methods

FPIC is maintained during consultation process. To collect feedbacks of EM, consultant is implemented consultation activities based on the following methods, objects and procedure.

- Consulting by households questionnaire, informant interview (focus on livelihood sources, constraints and promotions) to collect socio-economic information of EM households, language is used is Vietnamese;
- Focused group discussion to assess social background, chance to implement EM development activities of the project;
- Consultation process: Consulting times are implemented in October 2015. Consultants have basic experience on cultural, socio-economic characteristics of Khmer, Cham and Hoa people. EM people are consulted before using consultation tools.
- *Participant:* Based on implementation plan, local is announced before 1 week on content, time, location, participant (10 persons/commune) to ensure that consultation has both male and female. Consultations in An Minh and An Bien district are mainly participated by Khmer people.
- *Organization method:* In focused group discussion, EM females were promoted to give their idea/questions. To ensure language comfort for the EM consulted, each EM groups were consulted separately. A local person (from the same EM group) was invited to join the consultation just in case local EM language is required to maintain the smooth exchange of information between the EM peoples and the consultant team. The researchers who led the consultation sessions have extensive experience background on EM peoples in Vietnam.
- 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.
- *Location:* Surveys are implemented in households, focused group discussions occur in Hall of CPC or hamlet.

4. Summary of Consultation Results

No.	Location	Place, Date	Participants	Consultation result
1	Kien Giang	Department of Agriculture and Rural Development 28/10/2015	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 EMPF; - 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.
2	Kien Giang	An Bien DPC 27/10/2015	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.
3	Kien Giang	An Minh DPC 28/10/2015	DPC Representatives, Officer in charge of EM in the district; Representatives of local	<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 (statistics in 2014); - EM live scatterly throughout 6 communes, the majority of Khmer are poor

No.	Location	Place, Date	Participants	Consultation result
			District Agricultural Division	<ul style="list-style-type: none"> - 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;
4	Kien Giang	CPC, An Minh district 28/10/2015	CPC Representatives, Representatives of community; 16 EM people	<ul style="list-style-type: none"> - Broad community included EM people support for project implementation and EMDP - People in the commune mainly work for agriculture, aquaculture, but most their income comes from agriculture with cultivation of rice, bean, subsidy crops and livestock (78%), hired labor (17%); business services (5%). - On average, each EM household in the commune gains from 13 to 15 million VND/person/year (in 2014). This reflects the importance of the incomes that many households receive from agricultural production. - There was much difference of economic aspect between ethnic minority people landless and EM people have agricultural production land. - The area of local salinization are quite severe, saltwater contamination occupies 60-70% of agricultural land. - Quality of underground water sources are not safe enough, in addition, less rainfall influence to the daily life of people. - The area affected by salinization are converted to aquaculture, bring high profit to the people. The project should take measures such as salty water channel for households to serve aquaculture, or support money to the households to switch careers, recover livelihood. - The sluice gates also need embankments on the two sides to prevent erosion affecting works and sanitation problems. - The people support project because it is the policy of the State for socio-economic development. - The quality of work should withstand the flood and ensure vessel traffic movement and especially sanitation issues at the gate. - Supporting project to solve the problem of irrigation water for people, increased agricultural productivity, less difficulties for people

No.	Location	Place, Date	Participants	Consultation result
5	Kien Giang	CPC, An Bien district 28/10/2015	CPC Representatives, Representatives of community; 10 EM people	<ul style="list-style-type: none"> - Broad community included EM people support for project implementation and EMDP - The credit schemes for economic development such as agricultural production, non-farm activities in all communes of the project area are working effectively. - They could access loan from local banks and other governmental organizations, but many households cannot borrow money because of complicated procedures or lacking of collateral. - Many minorities still do not know the credit schemes which are available so they cannot use this assets for their livelihood development activities. - The irrigation works also solve problems for local traffic with bridges, trade of goods. - The project will bring benefit for agriculture and brackish aquaculture. People will be less difficult to irrigate fields. - Long-term positive impact of the project is very large, not only ensuring water production and living for local people, but also to create convenient transportation, trading goods. - Beneficiaries of the project are poor and women because the current rate of poor households in the commune is quite high, men often work away or off-farm, farm work is now mainly undertaken by women - Supporting project to solve the problem of irrigation water for people, increased agricultural productivity, less difficulties for people.