

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 DEVELOPMENT PLAN
(EMDP)**

**SUB-PROJECT IN TRA VINH AND VINH LONG PROVINCES
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)**

TRAVINH-VINH LONG, 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.
<i>Culturally appropriate</i>	Means having regard for all facets of cultures, and being sensitive to their dynamics.
<i>Free, prior and informed consultation</i>	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.
<i>Collective attachment</i>	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.
<i>Customary rights to lands and resources</i>	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: 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)

After completion of construction in 2008, the South Mang Thit Irrigation System has been operated to serve for production and socio-economic development of Tra Vinh and Vinh Long province. However, in recent years, salinity of 4 g/l intrudes increasingly through the estuaries

of Vung Liem, Tan Dinh, and Bong Bot. In the dry season, several challenges arise: the southern section of the irrigation system lacks fresh water for production; environmental pollution increases; the automatic sluice gates do not meet the requirements of water control and navigation; tidal erosion in some structures; and there is salinity intrusion through the open gates in some northern parts of the subproject area.

Salinity and rising water levels due to climate change further impact the project area, and is expected to become more severe affecting water supply demand in Tra Vinh province and a part of Vinh Long province. The proposed subproject will help to overcome the problems mentioned above, to supply water for sustainable production and development, as well as provide adaptation measures for 225,682 hectares of the South Mang Thit Irrigation System and 82,383 hectares of natural land of Vung Liem, Tra On districts in Vinh Long province and Cau Ke, Cang Long district in Tra Vinh province.

The subproject site is located in the estuary zone covering Tra Vinh and Vinh Long provinces. The primary objective of this subproject is to address the challenges related to salinity intrusion, and providing sustainable and improved livelihoods for communities living in the 3 districts at the border of Tra Vinh and Vinh Long provinces. This subproject will be implemented by MARD in the period of 2016-2021.

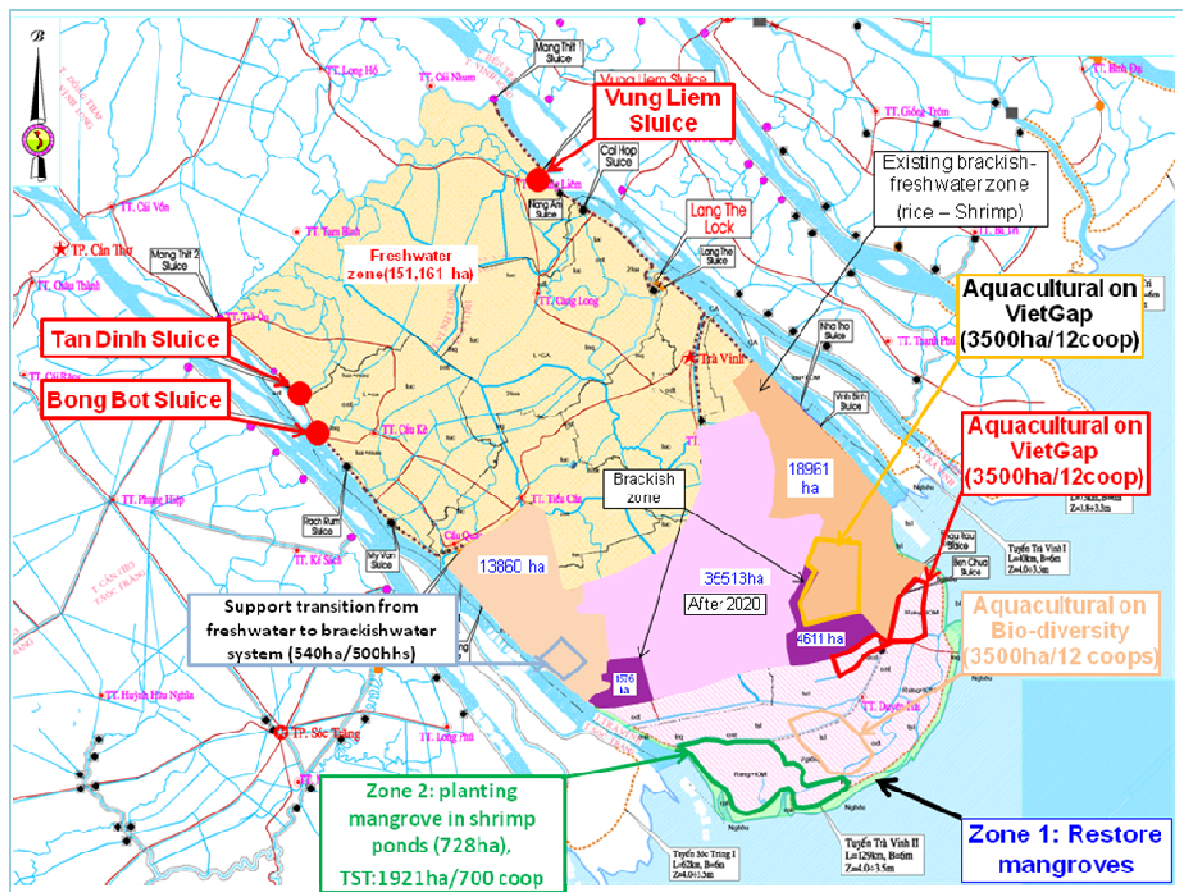


Figure 1. Locations of construction works and other activities of the subproject

The subproject area is divided into 3 zones with the following objectives.

Zone 2 - Improving sustainability of brackish water aquaculture. To improve stability and efficiency of brackish water aquaculture production by reducing losses due to high tides, improving water quality, enhancing extension services, establishing farmer organizations and promoting good aquaculture practices.

Zone 3a - Downstream area with frequent brackish water intrusion. To build capacity and necessary steps to prepare for gradual transition to a brackish water economy.

Zone 3b - Upstream area, fruit trees, freshwater. This area experiences saline intrusion a few months a year which has caused huge losses for fruit trees and orchards. Since the income from fruit trees is still high and with the lack infrastructure to transition to a brackish water economy, farmers want the project to protect their fruit trees from saline intrusion in the shorter term and until their fruit trees are no longer economically viable.

Key proposed activities/investments

Table 1 - The key proposed activities of the subprojects

	1 st year	2 nd year	3 rd year	4 th year	5 th year	6 th year
ZONE 2: Improving sustainability of brackish water aquaculture (Duyen Hai town, Tra Vinh province)						
Additional mangrove planting in shrimp ponds (728 ha) & Certification of shrimp mangrove ecofarming						
1. Survey and design	x					
2. Earthwork + Seeding		x				
3. Toilet	x	x	x	x	x	x
4. Training for farmers (2353ha/700 HHs)	x	x	x	x		
5. Establish farmer groups		x	x	x	x	x
6. Certification of shrimp-mangrove eco farming		x	x	x	x	x
Aquaculture on Bio-diversity (2206ha/7 coops)						
1. Establish farmer coop		x	x	X	x	x
2. Demonstration models (1 site/coop)		x	x	X		
3. Training for farmers (2206ha/2200hhs)		x	x	X	x	x
ZONE 3a (Downstream area with frequent brackish water intrusion): An Phu Tan commune, Cau Ke district, Tra Vinh province; Tich Thien commune, Tra On district, Trung Thanh Tay, Trung Thanh Dong commune, Vung Liem district, Vinh Long province						
1. Study on appropriate land use for a transition to brackish economics		x	x	x		

ZONE 3b (Upstream area, Fruit trees, Freshwater): Duyen Hai and Cau Ngang district, Tra Vinh province						
Tidal sluice gate and saltwater intrusion						
1.Sluice gate Vung Liem		X	X	X	X	
2.Sluice gate Bong Bot		X	X	X	X	
3.Sluice gate Tan Dinh		X	X	X	X	
4.Climate change awareness campaign		X	X	X	X	X
Linking farmers to markets						
1. Promoting contract farming (i.e materials, events, etc.)		X	X	X	X	X
2. Product branding		X	X	X	X	X

The main activities in the first year, focus on the review, survey, detailed design activities for the next year and plans to invest in basic sanitation (toilets) and farmer training activities at ZONE 2: Improving sustainability of brackish water aquaculture (Additional mangrove planting in shrimp ponds (728 ha) & Certification of shrimp mangrove eco- farming).

According to the results of the IOL prepared for the resettlement plan for building three proposed sluice gates (Tan Dinh, Bung Bot, Vung Liem), the subproject implementation will not affect directly land and assets of Ethnic Minority (EM) households in the target areas. Ethnic Minorities may, however, be affected like other households, through changes in livelihoods intended through the proposed investments under the sub-project.

1.3. Objective of Ethnic Minority Development Plan (EMDP)

This EMDP was developed following the guidance set forth in the Ethnic Minority Process Framework (EMPF) with the main objective of ensuring that the development process fosters full respect for their dignity, human rights, and cultural uniqueness. The objective of the EMDP to ensure that: a) the project's potential adverse impacts on EMs' livelihood/ income generation activities, if any, will be avoided/ minimized/mitigated; and b) EMs (in the subproject area) receive social and economic benefits (from project) that are culturally appropriate to them.

II. SUMMARY OF 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 adaptation of economic and social policies to each region and each group, taking the needs of ethnic minorities into account, is a requirement. The Socio-Economic Development Plan and Socio-Economic Development Strategy of Vietnam specifically call for attention to ethnic minorities. Major programs targeting ethnic minority people include Program 135 (infrastructure in poor and remote areas) and Program 134 (eradication of poor quality houses). A policy on education and health care for ethnic minorities is in place. The legal framework has been updated in 2014. All legal document references are in Table 2.

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 the program 125 phase 1, phase 2, the government launched program 135 phase 3 for a chance to enhance socio-economic development in poor communes and villages located in mountainous areas or where 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 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/QĐ-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.

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 calls 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 / QD-TTg dated 20/ 05/ 2013 by the Prime Minister on a number of policies to assist in resolving land and jobs for ethnic minorities, difficult life plains MRD period 2013 - 2015
2013	Decision No. 449 / QD-TTg of March 12, 2013 by the Prime Minister on approving the strategy of ethnic affairs 2020
2013	Decision No. 2356 / QD-TTg dated December 4, 2013 of the Prime Minister promulgating the action plan implementation strategy ethnic affairs 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
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 December 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)

OP 4.10 aims at avoiding potentially adverse effects on indigenous peoples and increasing activities to bring about project benefits, taking into account their cultural demands and needs. The Bank requires indigenous peoples, (referred here 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. Also, the project should be designed to ensure that the EMs are not affected by the adverse impacts of the development process, that mitigation measure be defined if required, and that the EMs receive socio-economic benefits that are culturally appropriate.

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.

In the context of the subproject, the EM groups in the subproject area are likely to receive long term benefits through the project investments aimed at improving climate resilience, but their livelihoods may be adversely affected during subproject implementation as well as potentially experience temporary social impacts on their communities.

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

III. SOCIO-ECONOMIC SITUATION OF ETHNIC MINORITIES IN THE SUBPROJECT AREA

3.1. Overview of EM communities in the subproject area

The proposed subproject is located in Tra Vinh provinces (total population: 1.027.500 people) and Vinh Long provinces (total population: 1,040,500 persons), where 20 ethnic groups are living. In the project area, Khmer is the main ethnic group. Other groups such as Hoa (Chinese), Cham, India, Muong could also be found but in small numbers. These minority groups are living integrated with the Kinh majority, not forming specific communities. Ethnic minorities (mostly Khmer) account for 32.44% (332,396 persons) of the provincial population in Tra Vinh province and 2,58% (28,000 persons) in Vinh Long province.

For the project area in Tra Vinh province, a large ethnic population (mainly Khmer) can be found only in Cau Ngang. Ethnic Minority Committee of Cau Ngang District (2014) indicated total of 53,725 ethnic persons accounting for 35.00% of the district population. Duyen Hai district EM people accounting for 17.36% (16,700) of the district total population and Cau Ke district EM people accounting for 31.33% (41,583).

Ethnic composition of two provinces is showed in the following table:

Table 3- Ethnic composition of Tra Vinh provinces

No.	Province	Kinh ethnic (%)	Other ethnic minorities (%)
1	Tra Vinh	67.56	32.44
1.1	Communes of Cau Ngang district	65.00	35.00
1.2	Communes of Cau Ke district	61.67	31.33
1.3	Communes of Duyen Hai district	82.64	17.36
2	Vinh Long	97.42	2.58
2.1	Communes of Tra On	94.32	5.68
2.2	Communes of Vung Liem district	98.83	1.17

Source: General Statistics Office -2014

In the sub-project area, the poverty rate is 11.92%, with 24.65% ethnic minorities, compared to Tra Vinh province average of 10.66% (2014). Within this, the poverty rate of the ethnic minorities in Cau Ke and Duyen Hai's districts are 14.13% and 25.5% respectively. There are several reasons for poverty in this area but mainly occur in households which lack farming land, households which have no labor or labor with poor health, households with many children, and those lacking knowledge of proper farming techniques.

Through community consultation, ethnic minority households are mostly poor families or families with no or less labor. The EM people have the same land tenure for residential land and production land as the Kinh people. Proportion of landless EM people is 18% in these districts. Through government programs, EM 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.

3.2. Social characteristics of the EM groups

In the area directly affected by the sub-project, ethnic people are living mainly in rural areas, with over 90% of the people relying on farm activities. Other occupations include handicrafts, hired labor for agriculture, and workers. The percentage of workers in working age (EM people) participating in economic activity accounted for 50.6% of the population.

Average income per person/month in the project area is 2.205.950 VND (approximately US\$ 100). Findings of EM survey indicated that only 39.2% of households reported having better living conditions than 3 years ago, with 11.8% households indicating their life was worse. For agricultural production, the EM people face many difficulties due to the lack of farming land, and outdated farming practices. In addition, the low level of education hampers the transfer of new practices.

In the subproject areas, the percentage of households using hygienic toilets is 36.8%, and those using clean water is 98.2%. The results of the survey on social assessment shows that

the proportion of households using tap water (through private or shared meter) is moderate. The households having tap water for domestic use and the connection rate is higher (50%). However, the number of EM households using canal water is also high in the subproject area. 64% of those interviewed indicated that the water situation had improved over the last three years, especially in the commune with high ratio of households using tap water.

All households of ethnic minorities are entitled an allowance for children to go to school, but the ratio of school drop-out among the Khmer is higher. The survey data partly reflects the overall situation. The education level of the working age group (from 15 years) in the households surveyed, is low, concentrated mainly at the secondary school level or below. The rate of secondary vocational school or higher is low and mainly concentrated in the age group of 18-24. Illiteracy remains high in group over 60 years of age. Educational attainment in primary school accounts for higher percentage than other education groups (43.7%). Both communes have made universal primary education and 100% of 5 year old children attend school.

Educational level of the ethnic minorities is still low; illiteracy and early dropout is still high. Reason for dropouts is often due to poverty, parents work away from home, so they have to leave their children to grandparents, missing the mentoring, and support, children easily dropout (Key informant interview with Mr Dung, EM division, Cau Ke district).

Land use: About 48.9 % of households do not have a LURC; and nearly 30% of households lack of productive land in An Phu Tan commune, Cau Ke District. The results are similar to the World Bank's assessment "The landlessness incidence is also high among Khmer households in the Mekong Delta" (48% in *Vietnam Country Social Analysis 200*, World Bank). Based on the Social Assessment, there are several possible causes of rural landlessness. A young family, starting out from a poor parent family very likely inherits little or no land from their parents. Family catastrophes such as serious illnesses of family members or sudden loss of the family breadwinners, sometimes combined with successive failures of crops may result in the family selling land to take care of immediate needs and/or to pay debts. With limited resources, they are unable to diversify their income and have to rely on earnings from hired labor and exploiting natural resources for livelihoods which is often seasonal and unstable.

Gender aspect: the social impact assessment did not find any gender inequality in the subproject areas in terms of possession of assets and accessibility to social resources and services. According to the Land Law, both husband and wife have name in land use right certificate (LURC) of family. Men and women have equal opportunity to access to social resources and services such as school, hospital and health services.

IV. SOCIAL IMPACTS OF OVERALL SUBPROJECT

4.1. Positive impacts

Since detailed subproject designs were not completed by the time of preliminary social assessment, accurate impact assessment (at the household level) could not be done. Therefore, the EMDP has to be updated during implementation, to ensure that ethnic minorities are additionally and extensively consulted during SA so that any challenges to their livelihoods restoration (as a result of subproject impacts) are properly addressed.

Results of the social impact assessment survey and consultation with affected ethnic minority people in the project communes show that these communities are dealing with many difficulties in their production activities and living conditions due to floods, saline intrusion, lack of clean water, and environmental pollution. Thus, they recognize that the project will bring more benefits to them in terms of improvement in cultivation, environment and sanitation, and water supply.

The following principles will be observed during detailed engineering designs and detailed measurement survey and social assessment to minimize impact on EM and ensuring affected EM have access to project's development assistance opportunities:

- Positive impacts can be enhanced by providing agricultural extension training for ethnic minorities so they can use and manage water resources better by project end.
- Prioritize activities that improve the lives of vulnerable households (poor and ethnic minority households);
- Create more employment opportunities for the landless and those with limited production; and
- 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 project strengthens the capacity of ethnic communities to let them self-develop and creates conditions for them to better understand their responsibilities in climate change adaptation and livelihood development.
- Selection/ detailed design of subprojects will be done based on a technically objective manner, without discrimination of EM people;
- For capacity development activities, selection of beneficiaries needs to be done by committees that comprise representatives of EM people;
- In cases where the project cannot reasonably extend and connect infrastructure to EM based on objective criteria, the project will employ some reasonable measures via consultation with EM peoples to identify relevant needs (in relation to project impact and project's scope of intervention) so they will benefit from the project; and
- Where possible, and if resources are limited, EM households that may be negatively affected by the project must be given first priority in benefiting from development

activities of the project (i.e. access to water supply, sanitation, agricultural inputs/supplies, and training opportunities...).

4.2. Negative impacts and mitigation measures

Table 4-0 Potential Negative Impacts and Mitigation Measures

Impact	Description of potential negative impacts	Mitigation Measures
Affected livelihoods	<ul style="list-style-type: none"> - Waterways may also be affected with the construction of new sluice gates; 	<ul style="list-style-type: none"> - Conduct free, prior, and informed consultation with affected EM people; - Livelihood support for the landless in the sub-project areas should be established or extended from existing development programs
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 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.
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 	<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. -

Impact	Description of potential negative impacts	Mitigation Measures
Water use conflicts	<ul style="list-style-type: none"> - Rice cropping models use freshwater (mostly EM) which would conflict with the rice - shrimp and other cropping models 	<ul style="list-style-type: none"> - Avoid interruption of flow in irrigation channels and maintain water quality, - 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 ethnic communities

V. SUMMARY OF CONSULTATION RESULTS WITH THE EM COMMUNITIES

An EMDP is prepare for subproject - on the basis of social assessment and consultation with the EM people –to offer development opportunities to 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 public 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 the ethnic minority people in a culturally appropriated manner. Two key informant discussions were held in An Phu Tan commune (Cau Ke district) and Tich Thien commune (Tra On district) in which EM people and other stakeholders participated (total 18 people). During the consultation, ethnic minority households confirmed that they were informed about the subproject, and gave broad support for its implementation. EM households understood the potential project impacts (including negative impacts from influx of workers and the potential health risks), but also recognized there were no negative impacts related to land acquisition. They also agreed with this development activities proposed under this EMDP given that the activities proposed aim to ensure they will benefit from the sub-project.

In addition, they had specific ideas / suggestions focused on two issues: (i) recommendations related to the subproject during construction; and (ii) proposals related to community development, as follows:

Impacts of the project:

- If the investment project will control saltwater and fresh water will be available for production; flood control and river erosion should also been prevented;
- During the operation measures should be taken to limit the damage caused by landslides and flooding especially for lowlands near watercourses.

Livelihood development:

- Strengthen communication activities for policies, law in appropriate language of the communities;
- Support clean water systems, toilets for people;
- Enhance the vocational training at local level;
- Support investment models (e.g. animal husbandry, cultivation and handicraft) for livelihoods and gradually expand to ethnic minorities;
- Provide capacity building and training for the project implementation units to ensure that ethnic minorities benefit from the project;
- Establish livelihood support for the landless in the sub-project areas or extend from existing development programs.

A second round of consultation in Cau Ke DPC district (Trà Vinh province) on 26 January 2016, representatives of the community and CPC from all district areas joined. 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 Project province (PPC, DONRE, DARD, CEMA) and affected districts (DPC) joined the workshop.

A presentation of the safeguard documents was undertaken by the Consultant. The representatives from the 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 households, some provinces allocate public land; each household also receives a LURC;
- In most of the provinces, poverty incidence is still high among Khmer; majority of Khmer households work as hired labor; in particular for aquaculture facilities;
- A number of Khmer households also migrate to urban centers especially 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.

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, as summarized below:

During EMDP implementation, the same consultation approach (already used during EMDP preparation) will be adopted. Consultation will be based 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 are 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.

Project information should however not rely solely on written documents/communications (e.g. for compensation, technical training, etc.). In the sub-project area, 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 ethnic groups.

The EM communities benefiting from this EMDP should be involved in both implementation, and monitoring & evaluation to maximize the intended purpose of the EMDP. PPMU will take lead in implementing this EMDP and ensure EM peoples are involved in the process of implementation, monitoring and evaluation of the EMDP.

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.

VI. DISCLOSURE INFORMATION

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. In addition to public disclosure of the EMDP, meetings need to be given at the community where EM are affected by the subproject. Where needed, meetings should be conducted using the language of the EM affected to ensure they fully understand the EMDP objective and can provide feedback.

The EMDP prepared during project implementation must be disclosed locally in a timely manner, before appraisal/approval of these subprojects. The EMDP for this sub-project was prepared in English by PPMU and submitted to the World Bank for disclosure at the Infoshop in Washington D.C. In addition, the EMDP was disclosed locally in Vietnamese language to affected EM as well as key stakeholders.

VII. DEVELOPMENT ACTIVITIES PROPOSED UNDER THIS EMDP

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) limited job skills. During consultation, the ethnic minority community also proposed some activities which have been included. The proposed activities will focus on 3 districts in Tra Vinh Province (Cau Ngang, Cau Khe and Duyen Hai) where the % of Khmer is up to 35%.

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 (10 in each district). 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. Micro-credit programs, managed by the Women's Union, should also be proposed. 15 models will be developed.

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 18 communes of the three districts.

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. The mass organizations of 18 communes in the 3 districts will be trained. Mass organizations of the district will also be included in the training.

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 18 communes of the three districts with the highest rate of EM (6 communes by district). 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.

The courses will be designed to ensure: (i) its content fits with the culture of the ethnic minorities, and (ii) women are encouraged to participate, with women constituting at least 50% of the participants.

VIII. IMPLEMENTATION ARRANGEMENTS

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 project implementation, CPMU will provide training to PPMUs to enable them 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.

Table 5- Implementation plan

IX. GRIEVANCE REDRESS MECHANISM

Activity	Responsible party	Schedule
EMDP preparation		
Disclosure of EMDP at Infoshop	WB	Quarter 1/2016
Disclosure at local areas	CPO; Binh Thuan PPMU	Quarter 1/2016
Approval of safeguard policy documents of project and EMDP of sub-project	WB and the GOV	Quarter 1/2016
Training on safeguard policy, frameworks for project officers	CPO and consultants	Quarter 2/2016
Recruiting the independent monitoring consultant	CPO	Quarter 4/2016
EMDP updating	CPO and consultants	Quarter 4/2016
EMDP implementation		Quarter 1/2017
Disseminating project information to Ahs	PPMU	
Implementation of development activities	PPMU	Quarter 1/2017
Internal Monitoring every month; quarterly reporting	PPMU	Quarter 2/2017
External Monitoring every six months; monitoring reports	Independent monitoring consultant	Quarter 2/2017

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 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. Complainants are exempted of all costs associated with complaints. 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 project affected person (PAP) 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 PAPs 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)

If after 30 days the aggrieved affected household does not hear from the CPC, or if the PAPs 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 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 – 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.

X. 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 6 - 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 include only small sample of EMs?- 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 7 - 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.

XI. COSTS AND BUDGET

The budget to establish and implement this EMDP will be financed using Bank's fund under the MD-ICRSL Project. Table 9 presents the detailed costs estimate.

Table 8. 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

Table 9- 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	18 communes (Cau Ngang, Cau Khe & Duyen Hai District)		100,000,000	1 800 000 000	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 models	75	30,000,000	450 000 000	Representative of community and communal society organizations
5	Capacity building for mass organizations	18 communes (Cau Ngang, Cau Khe & Duyen Hai District)	60	20,000,000	360 000 000	Farmers' Union and Women's Union at commune and district level
6	Enhance education of the Khmer community	18 communes (Cau Ngang, Cau Khe & Duyen Hai District)	3,000	40,000,000	720 000 000	Target adults who never went to schools (50% men, 50% women)
	Sub-total				4 755 000 000	
	Contingency (10%)				475 500 000	
	Management cost (10%)				475 500 000	
	Total (VND)				5 706 000 000	
	Total (USD)				253 600	

(Exchange rate, January 2016: 1 USD = 22,500 VND)

Annex 1. EM consultation

a) Objective of community consultation

As part of the social assessment conducted for this subproject, consultation with EMs present in the project was conducted in a free, prior and informed manner – as per World Bank’s OP 4.10. The purpose of the consultation is to a) inform the ethnic minorities present in the subproject area of the potential project impact (adverse and positive), b) solicit feedback from the EM peoples (on the basis of identified impact), and c) to 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..

b) Consultation methods

Various inquiry techniques, such as focus groups discussion, key informant interview, field observation, and household survey, were employed to collect feedback from the EM peoples. Free, prior, and informed consultation – as per Bank’s OP 4.10, were maintained during the consultation process.

- **Inquiry techniques:** while using the above inquiry techniques, the consultant was aware of the comfort that needs to be maintained with regards to use of language when consulting with the EM peoples. Prior to conducting consultation, check was made to ensure the EM peoples to be consulted have a preference for the language that should be used during the consultation exercise. For this subproject, despite the fact EM peoples are from Khmer ethnic group ... they confirmed before the consultation session that they were comfortable with Viet language. Therefore, the consultation was conducted using Viet language. 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.
- **Consultation process:** the consultation exercise was conducted in October 2015. The consultation exercise use both household survey, and focus group discussions/community meetings (as mentioned above) during the process of consultation. There were both men and women participating in the consultation. EM women, in particular, were encouraged to raise their comments/questions. Where possible, cultural houses (for community meeting) were used to conduct the consultation (for focus group discussion/ community meetings).

c) Summary of EM consultation meetings

No.	Project area	Place/date	Participants	Consultative result
1	Tra Vinh	Department of Agriculture and Rural Development 18/9/2015	DARD, Department of Natural Resources and Environment; Department of Planning and Investment; Departments and divisions of the Department; Representatives of districts in the project	<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.
2	Tra Vinh	Ethnic Chamber of Cau Ke Dist 05/11/2015	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; 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 based on the reputation of the individual in community, partly integrated with the teachings of the monks to solve community conflicts. - There are only 3 people in Ethnic Chamber; there should be coordination with other departments of the district in supporting EM activities.
3	Tra Vinh	CPC of An Phu Tan commune 05/11/2015	9 representatives of EM people, and communal society organizations	<ul style="list-style-type: none"> - Broad community included EM people support for project implementation and EMDP - The local people live mainly on agriculture, agricultural production is always under influence of salinization in the dry season and floods in the rainy season. Only 50% of in worker age has job frequently, the remaining depends on the crop. - Local economics is based on agriculture and farming. - Need assistance for livelihood to secure the current standard of living, the development of agriculture here today is not feasible because the land area is limited, while the cost of production is

				<p>high.</p> <ul style="list-style-type: none"> - Saltwater intrusion problem still occurs frequently, salt water spill into the fields that make crop failures. The cost of desalination for land reclamation is expensive. Localities have to use a lot of measures to be able to store fresh water. - This coastal areas take enormous impact of saltwater intrusion and storm. The downgraded infrastructure is also ravaged by natural disasters. - Locality search crops withstand high salinity, transfer to suitable aquatic products such as salt water prawns, crabs, sea bass - The project will be implemented to prevent salt water to help local people initiative in agricultural production, but it should avoid the mobilization of people for donations because this is a poor commune with many difficult households. - Project will help sustain freshwater, saltwater intrusion overcome, further create favorable transportation for people - The people reveal supporting to sluice gates, but they are afraid of the problems arising during construction, such as noise, dust. - People recommended early commencement of project, shorten construction time to put the structure in operation to serve people.
4	Tra Vinh	CPC of Tich Thien commune 06/11/2015	12 representatives of EM people, and communal society organizations	<ul style="list-style-type: none"> - Broad community included EM people support for project implementation and EMDP - Ready contribute efforts and facilitate coordination with contractors during construction period - The EM people want to attend training courses to support production techniques to improve productivity. - People are afraid of accidents and environment pollution during construction. - People desire to participate in extension courses in farming skills and techniques for poultry. - Expect the project is commenced soon