

**HO CHI MINH CITY PEOPLE'S COMMITTEE**

SUPPORT FOR AUTONOMOUS HIGHER EDUCATION PROJECT

(SAHEP)

**RESETTLEMENT ACTION PLAN**

*(for the new campus of the Industrial University of Ho Chi Minh City*

*in Tan Chanh Hiep Ward of District 12)*

**21 January 2017**

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## ACRONYMS

BP	Bank Procedure
CPMU	Central Project Management Unit
DBCLA	District Board for Compensation and Land Acquisition
DMS	Detailed Measurement Survey
DPC	District People's Committee
EA	Executing Agency
EMC	External Monitoring Consultant
FPIC	Free, Prior and Informed Consultation
HCMC	Ho Chi Minh City
HCMC PC	Ho Chi Minh City People's Committee
HH	Household
LURC	Land Use Rights Certificate
M&E	Monitoring and evaluation
MOET	Ministry of Education and Training
MOIT	Ministry of Industry and Trade
NEU	National Economics University
OP	Operational Policy
PC	People's Committee
PAH	Project affected household
PAP	Project affected person
PIC	Public Information Booklet
RAP	Resettlement Action Plan
SAHEP	Support for Autonomous Higher Education Project
VND	Viet Nam Dong
WB	World Bank

## DEFINITION OF TERMS

<b>Affected person</b>	<p>Persons who, as a direct consequence of the Project and without their informed consent or power of choice, are either (a) physically relocated or lose their shelter, (b) lose their assets or access to assets, or (c) lose a source of income, or means of livelihood, whether they are physically relocated to another place or not.</p> <ul style="list-style-type: none"> <li>• Persons whose agricultural land will be affected (permanently or temporarily) by the Project;</li> <li>• Persons whose residential land/houses will be affected in part or in total (permanently or temporarily) by the Project;</li> <li>• Persons whose leased houses will be affected (permanently or temporarily) by the Project;</li> <li>• Persons whose businesses, including farm and non-farm business, or places of work, will be affected (permanently or temporarily) by the Project;</li> <li>• Persons whose crops and trees (annual and perennial) will be affected by the Project;</li> <li>• Persons whose other assets or access to those assets, will be affected in part or in total by the Project.</li> <li>• Persons who are squatters in public safety zones (i.e. right of the way) who are usually poor and rely on their retailed business (located on the right of the way) for income generation activities.</li> </ul>
<b>Cut-off-date</b>	<p>The cut-off date (by Article 67.1 of Land Law 2013) is the date when the Notice of Land Acquisition was officially released and sent to all identified project affected households. Under this project, the cut-off date is 16 August 2016.</p> <p>With this cut-off day established, people who encroach upon the project area after the cut-off date are not entitled to compensation payment, or any form of resettlement assistance.</p>
<b>Eligibility criteria</b>	<p>A set of criteria that was developed in line with the World Bank's OP 4.12 to define the affected persons based on a) land ownership of the affected persons and b) severity of impact, including:</p>

	<ul style="list-style-type: none"> <li>• Persons whose agricultural land will be affected (permanently or temporarily) by the Project;</li> <li>• Persons whose residential land/houses will be affected in part or in total (permanently or temporarily);</li> <li>• Persons whose leased-houses will be affected (permanently or temporarily);</li> <li>• Persons whose businesses, including farm and non-farm business, or places of work will be affected (permanently or temporarily);</li> <li>• Persons whose crops and trees (annual and perennial) will be affected;</li> <li>• Persons whose other assets or access to those assets, will be affected in part or in total by the Project;</li> <li>• Persons who are squatters in public safety zones (i.e. right of the way) who are usually poor and rely on their retailed business on the safety zone for income generation activities;</li> <li>• Persons who rent houses for purpose of living.</li> </ul>
<b>Resettlement</b>	<p>Resettlement covers all direct economic and social losses resulting from land taking and restriction of access, together with the consequent compensatory and remedial measures. Resettlement is not restricted to its usual meaning - physical relocation. Resettlement can, depending on the case, include (a) acquisition of land and physical structures on the land, including businesses; (b) physical relocation; and (c) economic rehabilitation of affected people, to improve (or at least restore) incomes and living standards.</p>
<b>Remaining Land Investment Cost</b>	<p>Include costs that the land user has invested in land (for the land use purpose) but have not been fully recovered by the time the land is acquired. These includes costs for: a) landfill, b) soil fertility improvement, soil erosion prevention (for farming purpose), c) foundation preparation (for business purpose), d) other investment as appropriate to the land use purpose (as defined at Article 7 of Decision No. 23/2015/QĐ-UBND of HCMC PC issued May 15, 2015.</p>
<b>Replacement costs</b>	<p>The amount of compensation sufficient to replace lost assets,</p>

	covering transaction costs, which may include taxes, fees, transportation, labor, etc. With regard to land and structures, "replacement cost" is defined as follows: For agricultural land, it is the pre-project or pre-displacement, whichever is higher, market value of land of equal productive potential or use located in the vicinity of the affected land, plus the cost of preparing the land to levels similar to those of the affected land, plus the cost of any registration and transfer taxes. For land in urban areas, it is the pre-displacement market value of land of equal size and use, with similar or improved public infrastructure facilities and services and located in the vicinity of the affected land, plus the cost of any registration and transfer taxes. For houses and other structures, it is cost to build the new house/structure with similar technical standard without depreciation and deduction of salvageable materials, plus the cost of any related registration and taxes.
<b>Entitlements</b>	Refer to compensation, assistance and resettlement packages that are designed for provision to eligible persons affected by the project.
<b>Livelihoods restoration program</b>	Series of development activities that are designed on the basis of the needs of the severely affected households and are implemented to support them to restore their income and living standards to the pre-project level.
<b>Stakeholders</b>	Any and all individuals, groups, organizations, and institutions interested in and potentially affected by a project or having the ability to influence a project.
<b>Severely affected household</b>	includes <ul style="list-style-type: none"> <li>• Households who lose 20% or more of their total landholding, or lose 10% or more for the poor/near poor and/or have to relocate are considered as <i>severely</i> affected households.</li> </ul>
<b>Vulnerable groups</b>	Those who may be more heavily affected by economic or physical displacement than others and who may be more limited than the population at large in their ability to claim or take advantage of



	<p>resettlement assistance and related development benefits. Vulnerable people/group can be (i) woman headed household with dependents, (ii) social policy person, (iii) ethnic minority, Poor/near poor household (as identified by HCMC's poverty standard; (iv) landless person; and (v) lonely elderly.</p>
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## EXECUTIVE SUMMARY

This RAP is prepared for the construction of the IUH's new campus in District 12 of HCMC. The RAP includes key information on project impacts, the mitigation and compensation measures to be applied to redress the unavoidable adverse effects of project activities on local people; entitlement matrix for affected people; livelihood restoration measure for severely affected households; arrangement of RAP implementation; mechanism for information disclosure, consultation and participation; grievance redress mechanism; monitoring mechanism; and cost estimate for RAP implementation.

**Scope of Impact and Mitigation Measures.** For the purpose of construction of the new campus of IUH in Tan Chanh Hiep Ward, District 12, the project will acquire permanently an area of 267,019m<sup>2</sup> of land, of which agricultural land makes up 240,252m<sup>2</sup>, residential land 19,399m<sup>2</sup> and public land 7,367.7m<sup>2</sup>-. The land acquisition would potentially affect an estimated 331 households and one company (263 owner households (1,315 HH members) and 68 renter households). The number of severely affected households is 230 (182 households losing 10% or more of total agricultural landholding and 82 relocated HHs (410 HH members)). The number of affected business households is 38 and the number of vulnerable households is 22 (including 2 poor, 14 women headed households [with dependents], and 6 of social policy category). Besides, the project also fully and partly affects 105 houses, 27,751 m<sup>2</sup> of crops, 2,963 trees, and 31 graves. During the construction of the new campus, some temporary impact are envisaged, such as impact on environment, local traffic, and local businesses. Efforts will be made to avoid/minimize these temporary impact - through appropriate construction measures.

- Mitigation measures: In addition to compensation that will be made to the affected households for the affected assets that could not be avoided, effort was made by IUH – through other non-compensation measures, to mitigate the potential adverse impact, such as early notification of land acquisition (i.e. before 90 days for agricultural land and 180 days for residential land), resettlement site is constructed close to the existing houses of the affected households. In addition, during resettlement process, consultation will be conducted regularly to ensure comments and feedback of affected households are considered to avoid/mitigate the resettlement impact, where possible. Temporary impact on existing living and business activities will be mitigated by allowing the households to continue using their existing houses and running their current business until their new houses are ready constructed in the resettlement site. Moreover, contractors will be required to apply all possible mitigation measures to avoid or mitigate temporary impact on local people with close monitoring of the PMU and local community.

**Socioeconomic Profile of Affected Population.** A Socioeconomic Survey (SES) was conducted to collect from affected household the information on a) their demographic characteristics, b) occupations, c) living standards (income, expenditure, loan/credit, health status, environmental sanitation, water access, participation of PAP in local groups, d) vulnerability of affected households, e) project impact on people's assets, including its cumulative impact at household level, f) consultation with PAP on the potential impact. On the basis of the SES, the collected information was analyzed to assess the overall potential impact of the project on the identified affected population and to prepare the Entitlement Matrix, and propose direction for activities for livelihood restoration program. Details are presented at Chapter III.

**Information Disclosure, Public Consultation and Participation.** A brief guidance on how Information Disclosure, Public Consultation, and Participation is established and will be implemented to promote effective two-way communication between the project owner and project stakeholders to ensure the affected and non-affected group understand the subproject purpose, subproject design, potential positive and negative impacts of the subproject, and subproject policy on involuntary resettlement. The guidance also aims to ensure affected people participate in all stages of resettlement implementation process by having access to all project information and providing their feedback to support subproject design and mitigation measures.

**Principles and Policies for Compensation, Support, Resettlement and Livelihood Restoration** sets forth principles and policies for compensation, support, resettlement and livelihood restoration. It provides details of compensation policies for types of impact and support and livelihood restoration measures.

**Implementation Arrangements** - set outs specific responsibilities of project stakeholders, including steps for preparation, updating and implementation of the RAP.

**Grievance Redress Mechanism** establishes a guidance to address grievance and complaints that may arise from affected households during RAP implementation.

**Monitoring and Evaluation Arrangement** describe how the RAP implementation is monitored and evaluated. This provides a brief guidance on how internal and external monitoring is carried out.

**Costs and Budget** provides a cost estimate and the arrangement of budget for RAP implementation.

# I. INTRODUCTION

## 1.1 Project overview

### 1.1.1 Project Development Objective

The project development objective (PDO) is to improve research, teaching, and institutional capacity at selected autonomous universities and strengthen the national higher education system.

### 1.1.2 Project Beneficiaries

The direct beneficiaries of SAHEP will include: (i) more than 55,000 students of benefiting faculties/schools at VNUA, HUST and IUH; (ii) 3,900 lecturers and researchers of VNUA, HUST and IUH who benefit from better quality research facilities and support; (iii) over 600,000 students and lecturers from various higher education institutions who benefit from the access to better quality learning resources via a digital library developed under the project; (iv) ministries and provincial People's Committees who have access to an up-to-date and comprehensive Higher Education Management Information System (HEMIS); and (v) MOET staff. Indirect beneficiaries will be employers who have higher quality employment resources and/or cooperation opportunities with universities in terms of education and research.

### 1.1.3 Project Descriptions

The project has two main components. Component 1 will focus on supporting three selected autonomous universities by investing in physical, technical, human and institutional resources to improve the quality and quantity of their research, teaching and management, and to become more financially sustainable institutions. Vietnam National University of Agriculture (VNUA), Hanoi University of Science and Technology (HUST), and the Industrial University of Ho Chi Minh City (IUH) located in District 12 of Ho Chi Minh City have been identified by the Government of Vietnam to participate in the project. Component 2 will support the strengthening of four key national higher education sub-systems: Accreditation, Higher Education Management Information, Higher Education Financial Management System and eLibrary. The first three of these systems are based in MOET, and the eLibrary will be based initially in the National Economic University (NEU) located in Ha Noi.

#### **Component 1: Improved research, teaching and institutional management in three selected autonomous universities**

This component will support three autonomous universities, including Vietnam National University of Agriculture (VNUA), Hanoi University of Science and Technology (HUST) and

Industrial University of Ho Chi Minh City (IUH). Each university will implement their components independently and will be responsible for own project management.

*Subcomponent 1: VNUA*

*Subcomponent 2: HUST.*

*Subcomponent 3: IUH*

## **Component 2: Strengthening Higher Education Management System**

This component will support (i) strengthening of the system of higher education accreditation (to be managed by MOET) (ii) development of a higher education management information system (to be managed by the IT Department of MOET); (iii) development of an electronic library to benefit about 50 universities nationwide (to be managed by the National Economic University); and (iv) improvement of financial management of higher education (managed by MOET).

A fifth sub-component will include project management, knowledge sharing and M&E. This component will be managed by MOET to monitor the project as a whole and to expand impact to the whole sector. This component will support the review and update of policy on higher education, project communication and knowledge sharing. The overall project monitoring and evaluation and independent audit will also be financed under this sub-component.

### **1.2 IUH subproject**

Among two components, Component 1 comprising of the IUH subproject will cause land acquisition for construction of a new campus for the IUH in Tan Chanh Hiep Ward of District 12 of Ho Chi Minh City.

### **1.3 Objective of the Resettlement Action Plan (RAP)**

According to the World Bank's OP 4.12 (Involuntary Resettlement), because the IUH subproject requires land acquisition Resettlement Action Plan needs to be prepared for the subproject in accordance with the requirements set forth in the Bank's OP 4.12 and the project's RPF.

In line with the project's RPF, the key principles of the resettlement are:

- 1) Physical displacement, economic and physical adverse impacts will be avoided where feasible or, if not possible, minimized by examining all available design alternatives, technology, and/or site selection. Where avoidance is not possible, impacts have to be mitigated;
- 2) If the need for resettlement is unavoidable, resettlement activities will be executed as an integral part of the project, providing sufficient investment resources to enable the persons affected by the project to receive the project benefits; and

- 3) All project affected people will be meaningfully consulted, and have the opportunities to participate in planning and implementing resettlement programs.

This RAP aims to:

- i. Ensure that no impoverishment of people shall result as a consequence of land acquisition, acquisition of assets, and resettlement for purposes of Project implementation.
- ii. Ensure no affected person is worse off as a result of the project.
- iii. Ensure all affected persons aware of procedure for grievances redress which is easily accessible and responsive.
- iv. Have in place a consultative, transparent and accountable involuntary resettlement process with a time frame agreed to by project owner and the affected persons.
- v. Provide adequate assistance in the form of transport, temporary accommodation, housing, training, capacity building, service provision etc. to project affected persons.

## II. SCOPE OF PROJECT IMPACT AND MITIGATION MEASURES

### 2.1 Scope of Project Impacts

#### 2.1.1 Affected households

The project will potentially affect an estimated 331 households, of which 263 land owner households, 01 company<sup>1</sup>, and 68 renter households. Number of severely affected households is 230 HHs, including 182 households losing 10% or more of total agricultural land holding and 82 relocated HHs. Number of affected business HHs is 38 HHs and number of vulnerable is 22 HHs (2 poor, 14 women headed households with dependents, and 6 HH of social policy category).

The affected households are classified as in Table 1 below.

*Table 1– Classification of Impact on Land Owners*

Ward	Severely affected HHs					Businesses	Vulnerable	Marginal affected HHs	Renter HHs	Total	
	Losing 10-70% (for poor/vulnerable)	Losing 20-70%	Losing >70%	Relocation	Subtotal					AHs	APs
Tan	4	11	167	82	230	38	22	2	68	231	1,451

<sup>1</sup> The company owns a plot of vacant agricultural land of 4,090.8m<sup>2</sup>.

Chanh Hiep											
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## 2.1.2 Impact on Land

### ❖ Acquired land area:

The construction of Industrial University of Ho Chi Minh City will require a permanent acquisition of 267,019m<sup>2</sup> of land, as follows:

- Residential land: 19,399 m<sup>2</sup> belonging to 108 households.
- Agricultural land: 240,252m<sup>2</sup> belonging to 178 households, including:
  - Annual cropland: 129,487m<sup>2</sup> belonging to 153 households.
  - Perennial land: 110,765 m<sup>2</sup> belonging to 25 households.
- Public land: an area of 7,367.7m<sup>2</sup> consisting of existing road (Tan Chanh Hiep 10 Street), and canal will be part of the project area. However, these public area (road and canal) are kept intact.

*Table 2 - Classification of acquired land*

Ward	Residential land (m <sup>2</sup> )	Agriculture land (m <sup>2</sup> )		Other land (canal + existing road)	Total (m <sup>2</sup> )	Land tenure status	
		Annual cropland	Perennial land			LURC	No LURC
Tan Chanh Hiep	19,399	129,487	110,765	7,367.7	267,019	94.3% (248 HHs)	5.7% (15 HHs)

### ❖ Land tenure status of the AHs

Overall, 94.3 % (248HHs) of affected households hold Land Use Rights Certificates (LURCs), or are eligible to issuance of LURCs. The remaining 5.7% (15 HHs) don't have LURC.

## 2.1.3 Impacts on Houses and Secondary Structures

**Houses:** The project will affects a total housing area of 13,096m<sup>2</sup>. Most of the houses affected are of Grade 4, making up 83.8% of total houses affected. The impact on houses vary from household to household.

**Legal status of affected houses:** The survey results show that 81.53% of total PAHs stated that they have built houses on their residential land. The remaining households built houses on their agricultural land (9 HHs), and on hired land (2 HHs).

**Current use of the houses:** Most of the HHs (75HHs, 71.4%) use their houses for living purpose, 11 HHs (10.5%) rent out, 2 HHs (1.9%) live combined with businesses, and 4 (3.8%) use their houses for sole business purpose.

**Structures associated with houses:** In addition to impacts on houses, the following structures associated with their houses are also affected, including “Trần” Family temple, kitchens, standalone latrines, etc. (see table below).

*Table 3 - Summary of affected houses and structures*

Affected houses (m <sup>2</sup> )	Kitchens (m <sup>2</sup> )	Latrine (unit)	Temple	Graves	Wells	Electrometers	Water meters	Pipelines (m <sup>2</sup> )	Fences (m)	Water containers	Yard (m <sup>2</sup> )
13,096	271	10	1	31	44	31	11	526	426	28	1,029

#### 2.1.4 Impacts on Crops and Trees

The total affected crop areas are 27,751m<sup>2</sup>, including King grass (cỏ voi), sugar cane, morning glory, bitter melon. About 2,963 trees will be affected, primarily coconut, acacia, guava, star apple, mango, banana, custard, jack fruit, plum, breadfruit (sa kê).

#### 2.1.5 Impact on Businesses

There are 38 households whose businesses are to be affected. Of this total, only 9 businesses are registered with regular tax payment. The remaining 29 businesses are not paying tax. Most of small business who do not pay tax are related to services such as tailor, barber, house rental, junk shop, coffee shop, motor repair, etc. Of 38 affected businesses, 29 businesses will be permanently affected and have to relocate. The remainders are temporarily affected as the houses they rent for doing their business are partially affected.

#### 2.1.6. Impact on Graves

There are 31 graves to be affected. The relocation of graves will be done on the basis of full consultation with the affected households to meet their customs and habits regarding to relocation of graves. Compensation payment for affected graves includes full costs associated with a) land for re-burial, b) excavation, c) relocation, d) reburial, e) construction of new tombs, and f) other reasonable related costs which are necessary to meet local customs and habits.



### 2.1.7 Impact on Public Assets

An area of 7,367.7m<sup>2</sup> of existing road and canal, which are under governmental management, will remain intact under the Project and as such will not be compensated - as agreed between IUH and local government.

### 2.1.8 Impact on Livelihood

In term of impact on agricultural land, despite 182 HHs are considered severely affected households due to losing 20% (10% for poor and vulnerable) or more of their total agricultural land holding, the loss of agriculture land does not appear to affect all the households' income. Indeed, only 12 households who are using land for growing crops are affected their income because of crop-based income. Most of the remainder leaves their land unused (some keeps perennial trees). Therefore, crop-based affected households will be covered by the livelihood restoration programs as they are directly engaged in agriculture.

In terms of impact on residential land with both houses and businesses on it are affected, 29 households who have business running in their house will be included in the livelihood restoration programs as these households do not only need to relocate but also need to re-set their business to recover/maintain their business.

For those who face cumulative impact – for example, losing residential land, house, and business, they will be consulted carefully at a later stage when they can figure out their preference on how and where they would relocate so that practical advice on job change/training could be provided to them.

### 2.1.9 Cumulative impacts

Among the total 331 HHs affected by the IUH subproject, 75 HHs would face cumulative impact which may pose additional difficulties to them during their resettlement and livelihoods restoration process. These households include:

- 5 households will lose house + agricultural land + agricultural land based income;
- 29 households will lose house + businesses;
- 10 households will lose agricultural land + businesses;
- 27 households will residential land + businesses;
- 4 vulnerable households will relocate.

These households will be entitled to participating in livelihoods restoration programs of the subproject.

### 2.1.10 Temporary Impact

If additional land is temporarily acquired for the purpose of support the construction operation,

such as worker camp, material storage the affected land should be compensated for duration of temporary use according to regulations of the RAP. Upon return of affected land to local people, the affected land must be restored to its pre-project condition – as agreed with the affected households.

In case the construction affects temporarily the business activities of local households outside the project area, resulting in loss of income that derive from such business, loss of income should be compensated for the entire period of impact – as agreed with the affected households.

## 2.2 Mitigation Measures

Effort has been made by the IUH to minimize the need of land acquisition and resettlement. Where avoidance of land acquisition is not feasible, compensation will be made to the affected households for the assets that are lost/affected, including their loss of income as a result of land acquisition. The compensation payment will be made on the basis of the principles set forth in the RPF and RAP. In addition to compensation, households who are severely affected will be provided with additional financial support for resettlement. They are also eligible for participating in the Livelihood Restoration Program that was designed based on their needs to assist them in promptly restoring their livelihood as a result of loss of land/business/crops, or as a result of physical relocation. In addition to the compensation and support, other measures will be taken to mitigate the potential adverse impact, including early notification of land acquisition (i.e. before 90 days for agricultural land and 180 days for residential land), resettlement site is constructed close to the existing households. During resettlement process, consultation will be conducted regularly to ensure comments and feedback of affected households are considered to avoid/mitigate the resettlement impact. Temporary impact on existing living and business activities will be mitigated by allowing the households to continue using their existing houses and running their current business until their new houses are ready to move in. Contractors will apply all possible mitigation measures to avoid and/or mitigate negative impacts on local people during construction with closely monitoring by IUH PMU and local community.

## III. SOCIOECONOMIC PROFILE OF AFFECTED POPULATION

### 3.1 Purpose of Socioeconomic Survey and Methods

#### 3.1.1 Purpose

Generally, the socioeconomic survey on affected households helps understand the overall context of the subproject area and current socioeconomic status of affected households. It also provides inputs for preparation of resettlement instruments and designing livelihood restoration measures more relevant to the context of affected households to ensure the sustainability of the project

entitlements.

Specifically, the Socioeconomic Survey (SES) aims to collect, from affected households, information on a) their demographic characteristics, b) occupations, c) living standards (income, expenditure, loan/credit, health status, environmental sanitation, water access, participation of PAP in local groups, social bonds), d) vulnerability of affected households, e) project impact on people's assets, including its cumulative impact at household level, f) consultation with PAP on the potential impact (self-assessment) and mitigation measures, g) their ability to restore their livelihoods, h) preference on resettlement options, and i) their support for project implementation.

### 3.1.2 Research Methods

**Mixed methods.** Qualitative and quantitative techniques are combined to enhance the reliability and the validity of the SES. Quantitative techniques are used for socioeconomic survey on affected households using questionnaire to collect households' socioeconomic information whereas qualitative techniques are used in focus group discussion, key informant interview, community meetings to obtain in-depth understanding of issues that could not be well captured from structured household survey. Field observation was also conducted throughout the field work. The field work was started in first week of September 2016 (first field observation, photo taking, talking with local peoples) and was up-scaled - from 28 September till 20 October 2016 for household survey exercise, focus group discussion, and key informant interview.

**Sample size and sampling.** A sample of 200 households was taken (from the affected population of 331 households, accounting for 60.4%) to serve the purpose of household survey. Stratified sampling was adopted to enhance the representativeness of each type of impact, and each of affected groups, particularly severely affected groups, including those who a) are affected with more than 20% of agriculture land, b) relocate their residence, c) have their business affected, d) are poor and/or vulnerable, and e) those who face cumulative impact (i.e. loss of houses, physical relocation, and loss of businesses...).

**Data analysis.** Quantitative data collected from the household survey were analyzed using SPSS software. Qualitative data obtained from consultation sessions (public meetings, focus group discussion, informant interview, etc.) were also analyzed, by themes. Both method and data source triangulation are employed to ensuring validity and reliability/trustworthiness of the findings.

## 3.2 Socioeconomic Overview of Subproject Area

The subproject is located within Tan Chanh Hiep Ward, District 12 in Ho Chi Minh City and cover 267,019 m<sup>2</sup> of land located within Tan Chanh Hiep Ward.



## **District 12.**

District 12 is located to the north west of Ho Chi Minh City, surrounded in part by National Road 1A. The District is adjacent to Thuan An Town, Binh Duong and Thu Duc District to the east, and Hoc Mon and Binh Tan District to the East, and is bordered to the South with Districts of Binh Thanh, Go Vap, Tan Binh, Tan Phu and Binh Tan. District 12 is also surrounded by Saigon River to the east which is an important waterway.

District 12 is 5,274.89 ha in natural area and comprised of 11 wards, namely An Phu Dong, Dong Hung Thuan, Hiep Thanh, Tan Chanh Hiep, Tan Hung Thuan, Tan Thoi Hiep, Tan Thoi Nhat, Thanh Loc, Thanh Xuan Thoi An, Trung My Tay. The district population is 395,790 people. The economic activities of the district is structured around three key pillars: services, industry, and agriculture. Most of the district income area from services sector. The income from this sector accounts for 68.54% of total district income with an annual average economic growth of 20.44%. Total income of the district, by 2015, is 4,700 billion VND. With the rapid urbanization of the district (in line with the overall development plan of the HCMC), the economic structure is scheduled for a remarkable increase of income from the services and industry sectors while being adjusted for a decrease on income from agriculture – from a current 18% down to 0.25% by 2020.

As more emphasis is put on development of services, it is noted that there are at the moment a total of 8,926 businesses active in the district (16 of these businesses are of big-size with more than 500 workers). The number of individual business are 14,045. The operation of both corporate and individual businesses have been contributing to the increase of income for the district – from service and industrial sector, which enable the district to reduce the poverty on the poor population of the district.

### **Tan Chanh Hiep Ward**

**Natural conditions.** As part of District 12, Tan Chanh Hiep Ward is on the way towards rapid urbanization. The ward is located to the north-west of Ho Chi Minh City, adjacent to Trung My Thanh ward and Trung Chanh commune to the west, Tan Thoi Hiep and Hiep Thanh wards to the east, and Dong Hung Thuan ward and north Thoi Tam Thon commune to the south. The ward has a natural area of 421.37 ha, of which land area that are in current use are 310ha, including 144ha as residential area, 6.7ha of public area, 44.8ha of agricultural and green area, 33.6 ha of transport, and 86ha for industrial development and other purposes).

**Population.** The population of the ward is on an increase — more than 50,000 inhabitants (from 43,415 in 2006). Half of the current population (about 25,000) are permanent residents whereas the remainder comes from different parts of the country for purpose of residence and working.

**Religions and Ethnicity.** Buddhism, Catholicism, Cao Dai, Protestants and some other religious activity in general and the religious activities take place normally, purely ceremonial true religion Catholic and lawful.

Kinh is the majority ethnic group, followed by Hoa (Chinese ethnic), and Khmer. Hoa and Khmer people have been living in the ward for some generations so that they have integrated in the host community (Kinh community – dominant group) in terms of identity, culture, custom livelihood activities and language. No distinctions between Hoa/Khmer group and Kinh group as regulated in OP4.10 have been found.

**Key economic activities.** Since its establishment, there have been around 420 companies as well as 1,007 private households currently active in the ward. Quang Trung Software Company which is one of the 12 key projects of Ho Chi Minh City is also situated in the ward. Two traditional markets which are Tan Chanh Hiep market and Ngã Ba Market are two important places where transaction of goods take place. These two markets are just a few kilometer away from the resettlement site which is convenient for local people to access.

In terms of income, about half of the income of the Ward (51%) are from trading-services. Twenty nine percent are from industry and handicraft, and the remaining 20% is from agricultural production – primarily from dairy cow, vegetable and ornament trees. The largest and concentrated agricultural land is the area (26ha) where the IUH' new campus is going to be built. While this is the largest agricultural area remaining in the district, the area has not been productive over the past 10-15 years because of lack of irrigation to maintain rice farming. Because of water shortage, most of the farm land in this area is abandoned, leaving only half of it to production annual crops, perennial trees, and animal husbandry. However, income from this area are not the sole income sources for households are still doing farming in this area.

**Transport network:** Road transport system is complete. However, the drainage system was not in place for most part of the ward, causing flooding during heavy rain.

**Schools and Health Care Center.** There are one high school, two primary schools, and one government managed, 12 private owned kindergartens and one Ward Health Center that provide service to local people. Ward Health Center is primarily responsible for national vaccination program and other health care program such as nutrition, control of diarrhea disease and respiratory infections. There are rooms for in-patients, primarily for emergency and maternal health care but the attendance is low since people prefers regional or city's hospital for quality health care service. In addition, there is a regular training center and five universities located within the area of the ward.

### 3.3 Findings of Socioeconomic Survey on affected households

The socioeconomic survey (household survey) covers representatives of 200 households who

own land out of total estimated 331 affected households, making up 60.4% of the entire affected population. The sampled 200 households comprised of 1,125 persons (as family members). The proportion of male respondents is 68% (136 persons).

General information about the affected households participating in the survey are presented below:

### 3.3.1 Household size

Each affected household has an average household size of five member<sup>2</sup>. The proportion of male and female in all affected households are 49.8% and 50.2%, respectively.

### 3.3.2 Age structure

Most (97.8%) of the heads of the affected households are more than 30 years of age. There are 71 household heads whose ages are within 46-60 and 58 heads who are 60 or older, making up the 71.6%. Group of heads aged from 31-45 makes 26.1% of the total respondents in the sample. High age of households' heads will restrict to vocational training for them, thus training courses should be selected and designed relevant with their age and based on consultation with them.

*Table 4 - Age Profile of Household Heads*

	HHs	Age range				Age range of male households				Age range of female households			
		18-30	31-45	46-60	>60	18-30	31-45	46-60	>60	18-30	31-45	46-60	>60
Total	200	4	47	71	58	4	36	54	40	0	11	17	18

### 3.3.3 Education Status

Of the 175 heads of the HHs, 26 persons have university degrees (22 male heads and 4 female heads), making up 14.8%; nine peoples have completed vocational school/college (4 male and 5 female), accounting for 5.1%; 42 heads have completed high school, making up 24%; 13.7 % of heads completed secondary school; 45 household heads completed primary school, making up 25.7%; only 5 persons (2.9%) did not attend school primary school. A clear pattern that could be observed with regards to the educational attainment is the number of male heads who have completed primary, secondary, high-school, or university are consistently higher than female. Based on this education analysis, vocational training courses for household heads should be designed relevant with their education level.

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<sup>2</sup> SD=2.147, min=1, max=11.

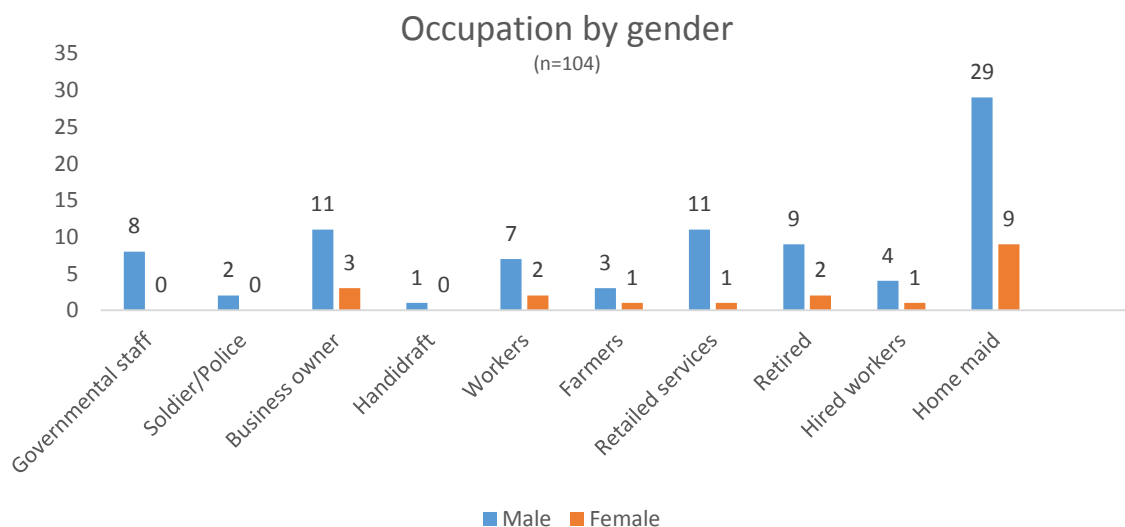
*Table 5 - Educational level of the PAPs (by Gender)*

Total	Illiterate		Primary		Secondary		High-school		Vocational school/ Colleague		University	
	Male	Female	M	F	M	F	M	F	M	F	M	F
175	2	3	30	15	40	8	32	10	4	5	22	4

### 3.3.4 Gender Analysis

#### *Occupation*

The survey indicates that men are more involved income generation activities (IGA) than women. Only 22.4% of female are involved in IGA, mostly in business sector, and work as housewives. Different from women, men are more engaged in the area of business – in the role of business owner, or involved in retail businesses and work as governmental officers. Very few people from the sample are farmers (only 3 men).



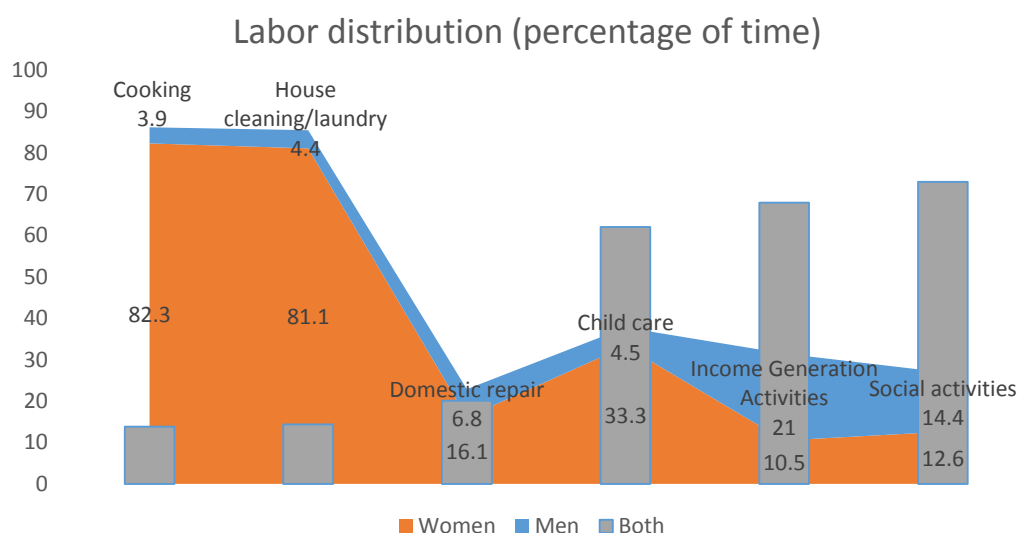
*Figure 1- Occupation by Gender*

#### *Labor Distribution*

One of the stereotype regarding the role of men and women in the family is that while women are typically expected to take care of family, including cooking, child care, and other housework, men are typically responsible for earning income and participate in social activities outside the family. In the context of the project area where there is a fast transition from rural to urban area, although men and women appear to have an equal roles with regards to income generation, child



care, and social activities, it appears from the survey that women still spend most of their time for doing households work compared to men. Works such as cooking, house cleaning and laundry, and child care are still primary responsibility of women – which is a traditional stereotype.



*Figure 2- Labor distribution (percentage of time)*

### *Income*

In terms of income generation, despite of more enhancing role of women, as indicated in the above figure, men still dominate jobs that requires manual/heavy work and works that require more social interaction with clients. As such, men are still accountable for most income earned. As the survey indicates, 32% of the survey respondents (n=108) indicate that men contribute to 80-100% of family income, 22% of them said men earn 51-79% of their family income. This evidence matches roughly the labor distribution, as mentioned above, where men are more involved in income generation whereas women are more involved in housework.

### *Decision Making in Household Expenditure*

While men earn more income than women, when it comes of money spending, both men and women are involved in the decision making process, particularly activities related to child education, money borrowing, house building, or job change. When it comes to shopping for daily living, women are dominant.

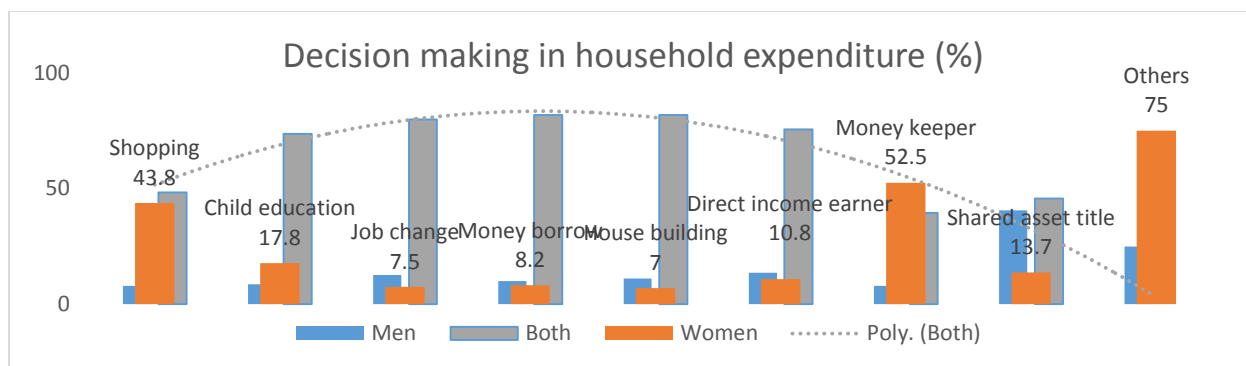


Figure 3 - Decision making in household expenditure (%)

### 3.3.5 Living standard

#### Current economic level

In terms of self-assessment of living standard, affected households indicated that 26 households (19%) claimed themselves as being poor, 87 households (64%) claimed their living standards are average, and 21 (16%) claimed they are better off. In terms of self-assessment of economic condition over the past three years, 82 households (59%) thought their living standard are stable, 22 households (16%) said their living standard improved. The remaining 34 (25%) said their living standards are worse off (because of higher competition).

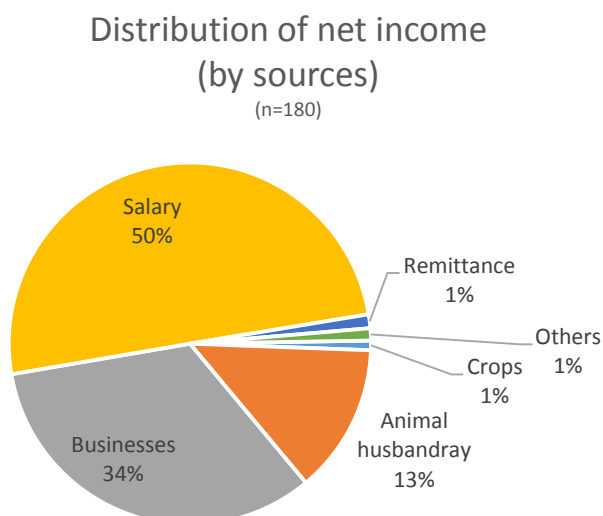
#### Income and Expenditure

Affected households are engaged in various jobs. Thus, their incomes vary from job to job. As most people interviewed have their net income from paid jobs (50%), business (34%), and animal husbandry (13%). The total income earned from these three top jobs are the highest, with those engaged in animal husbandry earn the most, followed by those who work as paid workers and those who are involved in private businesses. From the data on the type of job and the level of income earned, it is apparent that those involved in cropping are very few, and as such the income gained from cropping is also very small, making up only 1% of the total average annual income of the affected households from the sample. Therefore, loss of agricultural land does not affect much the income of affected households. The data for three top earning jobs indicate that these jobs can earn people stable income, including paid workers, animal husbandry and private businesses<sup>3</sup>. Annual income from crops are, on the contrary, smallest<sup>4</sup> albeit the most of the affected land are for agricultural purpose, suggesting that most of affected agricultural – in terms

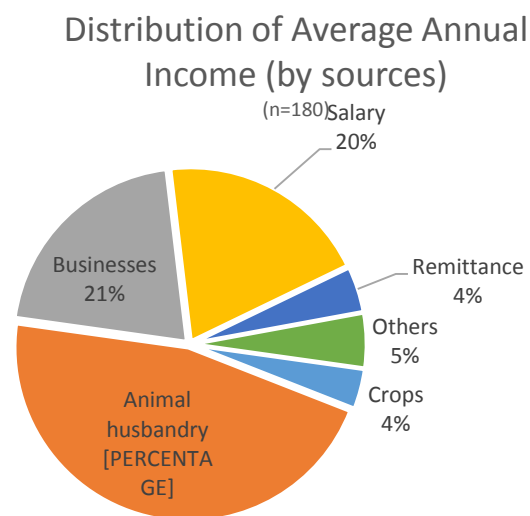
<sup>3</sup> The annual average income from animal husbandry is the highest (max=3 billion VND, min=30 mil VND, mean=341.8 mil VND, and mode=30mil VND, followed by salary (max=1,4 billion VND, min=2.4 mil VND, mean=149.3 mil VND, and mode=60mil VND).

<sup>4</sup> (max=72 mil VND, min=3 mil VND, mean=30 mil VND, mode=120mil VND)

of area, are not at the moment used for income purpose. This is in line with the result from focus group discussion and field observation. Most of the respondents (76%, n=105) believe their income area stable. The remaining 24 percent think their income are unstable. For the entire sample, overall, the average annual income<sup>5</sup> per household are 198,613,793 VND.

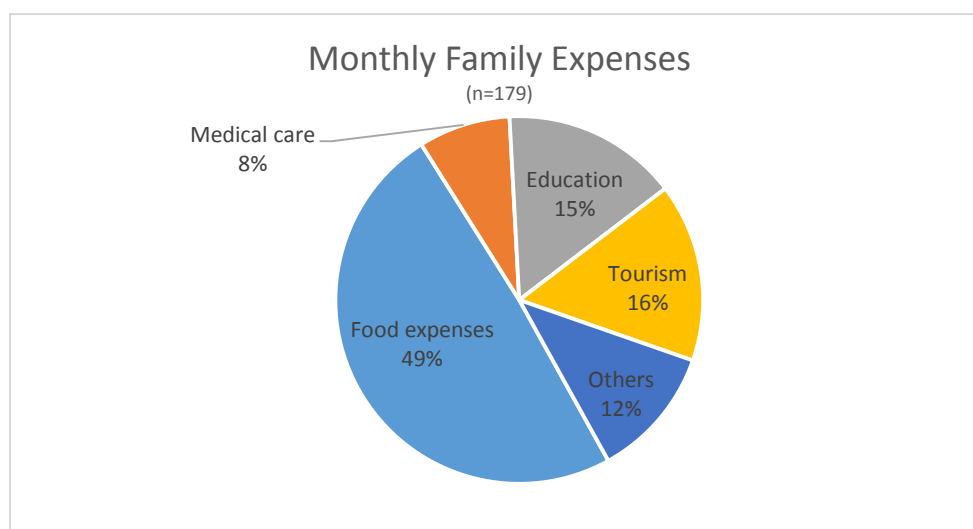


*Figure 4- Distribution of Net Income*



*Figure 5- Distribution of Average Annual Income*

Most of the family in the sample spend on average a large part of their income for foods, education for their children, and for medical care. For better off family, money is spent also for annual holiday.

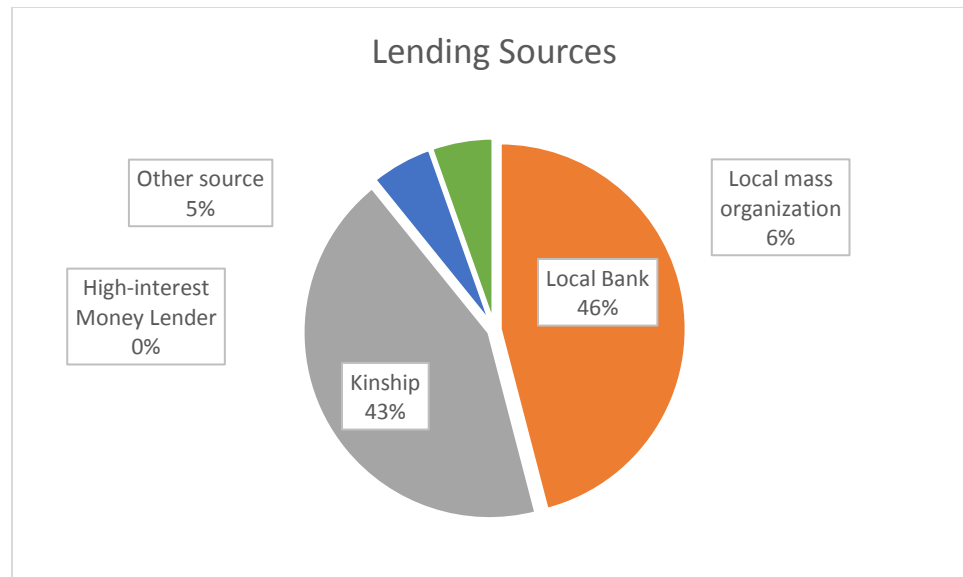


*Figure 6 - Monthly Family Expenses*

<sup>5</sup> (min=30,000,000 VND, max=1,464,000,000)

### *Loans/Credit*

There are 37 households from the survey who are currently borrowing money for different family purpose, of which 31.4% of these households borrow for family expenses, 31.4% for business purpose, 14.3% for house building, and 8.6% for production. Most (89.2%) of the money they borrowed are from local banks and from their relatives.



### *Health Status*

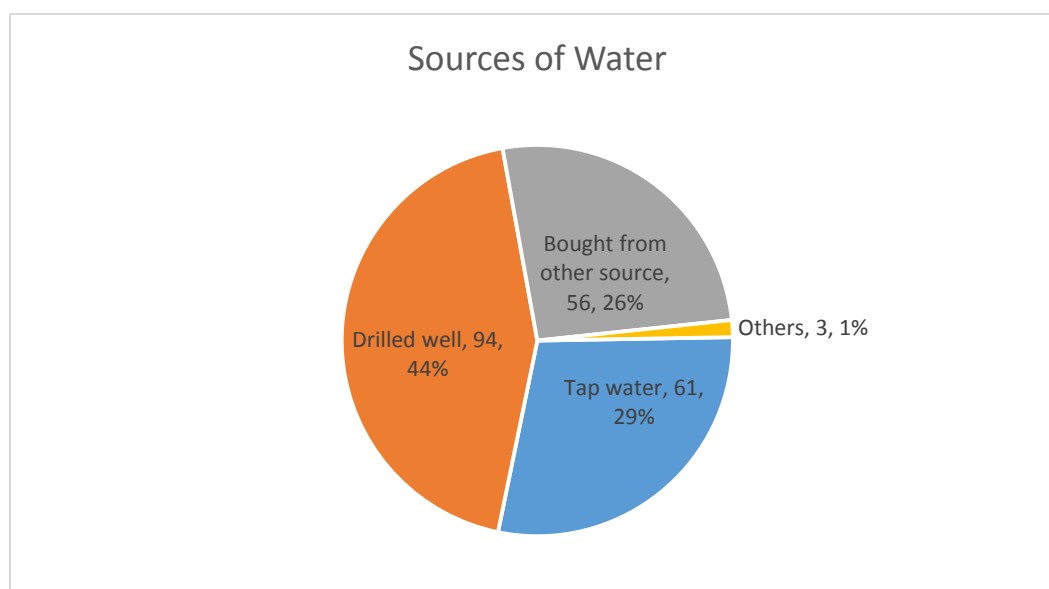
The survey showed that 50.5% (101 respondents) indicated that they have sick family members over the past three months. However, most of the diseases are fever (21.5%, 43 people), respiratory infections (7.5%, 15 peoples), and other common diseases (21%, 42 people). Once sick, people typically go to regional general hospital for a medical check and treatment (50%), 36% go to higher level hospital (City's Hospital), and 7.5% go to private doctors. In terms of health care insurance, 87.2% of them (157 respondents) have insurance. The remaining 12.8 percent don't have any health insurance.

### *Water access, and environmental sanitation*

All people use clean water in which 28.5% of respondents (61 peoples) have access to tap water, 43% (94 people) have access to drilled water. 26.2% do not have direct access to either drilled will or tap water but still have access clean water thanks to buying water from their neighbor who have clean water access.

In terms of water drainage, 35.5% (71 respondents) think the water drainage condition is at the moment good albeit slow drainage during small rain (1%) or heavy rain (1%), 39% of them believe that drainage condition become worse during heavy rain because there is no drainage system in place to accommodate big rain.

With regards to garbage collection, 82.5% indicated there is a garbage collection service functioning. The service is provided every two days and 56% of respondents (88) said that the service is very good, the remainders think the service is not good and needs improvement.



### *Local membership*

Half of respondents (85) indicate they currently have membership with local mass organizations, such as veteran club (54.4%), Women's Union (22.5%), Farmers Association (13.2%), Cooperative (4.7%), and Youth Union (2.3%). Most people said they joined their mass organizations to learn new knowledge (through training) and to share work experience.

### **3.3.6 Vulnerable Households**

Of the total 200 households participating in joining the survey, 22 households are of vulnerable group, making up 11% of sample. Of the total 22 vulnerable households, 14 are female headed with dependents, 2 poor household, and 6 are of social policy.

### **3.3.7 Impact on Livelihoods**

Those who own a house for living purpose, or use their house for combined living and business purpose are likely to be more severely affected than those who own agricultural land but are not using the land for income generation. Among the total 263 HHs whose land are affected by IUH subproject, there are various households who face cumulative impact, which may pose difficulties to them during their resettlement and livelihoods restoration, as follows:

- 5 households will lose house + agricultural land + agricultural land based income;
- 29 households will lose house + businesses;
- 10 households will lose agricultural land + businesses;

- 27 households will residential land + businesses;
- 4 vulnerable households will relocate.

During RAP updating exercise, PMU will conduct additional consultation with these HHs to see if they have any difficulties in restoring their livelihoods and/or need any special support from the project.

## IV. INFORMATION DISCLOSURE, PUBLIC CONSULTATION AND PARTICIPATION

### 4.1 Objective of Information Disclosure, Public Consultation and Participation

The Information Disclosure, public consultation and Participation aim to promote two-way communication between the project owner and project stakeholders, including affected people to ensure generally the public, and particularly the affected group, understand the subproject purpose, subproject design, potential positive and negative impacts of the subproject, and subproject policy on involuntary resettlement. It also creates opportunity for affected people to participate in all stages of resettlement implementation. Meaningful feedback from consultations will be considered and integrated in the subproject design and mitigation measures.

### 4.2 Stakeholders

The following stakeholders were informed of the project purpose and project's potential impacts:

- Representatives of affected households;
- Representatives of non-affected households who live adjacent to the project area;
- Representatives of Tan Chanh Hiep Ward's Peoples' Committee;
- Representatives of District's Peoples' Committee No. 12;
- Representatives of Ho Chi Minh City Peoples' Committee;
- Representatives of Industrial University of Ho Chi Minh City;
- Representatives of Mass organizations, i.e. Women's Union, Farmers' Associations, etc.
- The World Bank team.

### 4.3 Methods of Information Disclosure, Public Consultation and Participation

#### 4.3.1 Methods and Techniques

Various methods and techniques should be used to conduct information disclosure, consultation with and participation of affected peoples, including a) community meetings, b) household survey, c) focus group discussion, leaflet delivery, field observation and key informant interview. Using various methods and techniques aims to enhance the reliability and validity of the

feedback from the project different stakeholders, particularly the affected people and to ensure that (i) affected people receive fully project information; (ii) all affected people are involved in process of free, prior and informed consultation during preparation and implementation of the subproject.

Severely and vulnerably affected group should be fully engaged in process of information disclosure, public consultation and participation. Meaningful consultation with this group should be conducted throughout the project cycle and their concerns should be integrated in the subproject design.

#### 4.3.2 Information Dissemination and Consultation during preparation of RAP

The following information were shared with project stakeholders:

- Project description and objectives
- Project impact,
- Purpose of consultations, and consultation process,
- Tentative project timeline
- Summary of WB's OP 4.12 on Involuntary Resettlement.
- Compensation, support, resettlement options and principles
- Mitigation measures
- Grievance redress mechanism

The following consultation sessions (using the above techniques) have been conducted during preparation of the RAP.

No.	CONSULTATION ACTIVITIES	TIMING					
		Sep 2016	Sep 2016	Oct 2016	Oct 2016	Nov 2016	Nov 2016
1	Socioeconomic Survey		X				
2	Community Meeting			X			
3	Focus Groups Discussion			X			
4	Key Informant Interview			X			
5	Community Meeting				X		
6	Consultation with WB					X	

In addition to the above consultation which was conducted directly by the consulting team of the

IUH, the District 12 Board for Compensation and Land Acquisition has conducted a community meeting with the participation of most of the affected households to inform project purpose, project boundary, project impact, as well as the government's key procedures in compensation, resettlement, and land acquisition. This public meeting was conducted in August 2016.

At the stage of project preparation, feedback from representatives of affected households, local authorities are summarized, as follows:

**A. Consultation from Focus Group Discussion:** *(four FDGs were organized on 16 October 2016 with the participation of 15 men and 9 women)*

***1. Common issues (compensation rates, resettlement site):***

- Peoples feel depressed because of repeated change in urban planning for this area. However, they generally support the project and expect compensation be paid at market price for the affected assets, particularly affected land. In addition, the project should be implemented and completed as soon as possible, and avoid pending urban planning.
- Compensation rates, once finalized, should be disclosed to all people.
- Some people are concerned about large scale land acquisition of the project whereas the actual construction does not require that much.
- People support the university project. However, affected people needs to be consulted thoroughly so that they can well understand the project purpose, land acquisition plan, and compensation policies. Detailed of the engineering designed should be disclosed, not only general information.
- Affected peoples expected their questions be responded in writing, not generally at the public meeting. Some people are concerned about the compensation related to conversion of land purpose. They need more clarification from local government for how their remaining agricultural be converted into residential land in case the remaining land is still feasible to rebuild the house.
- People are concerned about the loss of free access if they move into the project's resettlement site which is under management of the University. They prefer an independence – with separate road access from the university.
- Relocated household may need from 6 to 12 months building new house and settle down. They need support during this resettlement process.
- Resettlement site should be completed (with functioning road, ready access to tap water and electricity) before people move in.

***2. Group with houses and business affected:***



- Representatives from this group said that the pending subproject plan causes great difficulties to local people because local government does not issue permit for construction/repair of their downgraded households due to land clearance planning. They also experience difficulties in credit access.
- People who have current advantage in terms of house location (convenient road access) expected being allocated with a similar plot of land in the resettlement site to maintain their businesses.
- Those who currently have businesses running in their house (on Tan Chanh Hiep 10 Street) are concerned that they would not be allocated with a similar land location that has business advantage like the current house.
- Some business owners indicate they cannot change their job given their age. Thus, they need support in looking for new location to resume their business/income generation activities.
- Affected business expected support for loss of income during the business transition. Their employee also need financial support during this period while waiting the business to resume in a new location, or looking for new job.
- They also expect their affected business be supported to enable to recover the business operation and loss of income.

### ***3. Group that lose agricultural land and animal husbandry***

- Households who keep dairy cow (for milk production) are very concerned on the loss of 50% of their income if their pasture area acquired, leading to buying grass from other people. Households having dairy cattle also concerned about the costs of transportation of the animal to the new location and expect the transportation be fully covered by the project. They also expressed they will continue their job despite physical relocation.
- Some households who do cropping expressed that they are not doing well on crop in the recent years due to increased inundating out in the field. Also, this is a rain-fed area and lack of irrigation become impossible for rice production which require reliable access to water. If the land are acquired, households doing crop plan to hire land elsewhere to continue their job to maintain their income.

### ***4. Group with women headed households:***

- Participant indicated that they don't think there is an inequality at the moment in every aspect in their family, including access to public service so that there is no need to ask both husband and wife to co-sign to receive compensation payment. These are people who have dependents to take care of.

❖ ***Response made by representative of IUH and District PC:***

- Detailed engineering design: The detailed design for the entire new campus of the IUH in Tan Chanh Hiep Ward is under development. During technical design stage, people will be consulted with the mitigation measures and the design of resettlement site. Once completed, the design will be reviewed for technical aspects by HCMC Department of Architecture and approval of HCMC People's Committee for implementation. Once approved, the detailed design will be disclosed to the affected households – through public meeting to facilitate questions and answers. Detailed design will provide technical specification of roads (within resettlement site), location of dormitory (for students), and functional departments of the University.
- Compensation policies (with detailed on eligibility criteria, compensation rates, supports, resettlement options, compensation mode and implementation schedule) will be disclosed – through similar public meetings to allow questions and comments from affected people. Additional consultation meetings to discuss on these issues – with more details, will be done once the compensation policies for the project has been agreed between the World Bank and Ho Chi Minh City's Peoples Committee.

Regarding the *Trần* ancestor's temple, the response is that the case has been under consideration by District 12 People's Committee. This case was also reflected in the RAP with recommendation to avoid. A field visit was also made to this temple following the consultation. IUH is following the processing of the case at district level.

**B. Consultation with Community (30 October and 13 November 2016):**

The 30 October public meeting were attended by twenty seven persons representing various affected households of various type of impact, two governmental staff representing District 12 People's Committee and Tan Chanh Hiep Ward, and four members representing the IUH. The 13 November meeting was attended by 38 peoples (34 representatives of relocating households, and 4 from Tan Chanh Hiep Ward and IUH representatives.

The meeting was conducted with the following sequences:

- a) Purpose of Meeting;
- b) Participants;
- c) Presentation on:
  - Project purpose,
  - Project area and potential impact,
  - Location and key specification of resettlement sites

- Key principles on compensation, support, and resettlement of the World Bank (OP 4.12)
- d) Feedback from the participants.
- e) Response from representatives of IUH and of District 12 People's Committee
- f) Wrap-up and next step.

❖ ***Concerns raised by representative of affected household:***

- They need to know the detailed engineering design of the university, particularly the detailed design of the resettlement site and access road connecting the resettlement site and the other part of the ward, and the readiness of other facilities such as water, electricity, and width of the road.
- Household who currently have active business on Tan Chanh Hiep 10 Street need to know the specific location of the land plot as well as the land area for each households in the resettlement site to assess their viability of their business once they move into the resettlement area.
- People want the resettlement site be ready constructed in terms of infrastructure before people actually move in. They expect the project be carried out as soon as possible because the projects using these land area has been pending for so long.
- People also express their appreciation of the University being here as this may promote the new business environment.
- They expect the compensation rates be at the market rates, and appropriate to support them in resettlement and restoration of their income/livelihoods.
- Compensation rates should be fair and applied consistently to avoid disagreement among affected households.
- Residential land should be compensated for the actual areas, not the quota for residential land.
- One household who ancestor's temple (*Trần* Family) is likely to be affected. She has submitted her appeal to District 12 People's Committee and re-affirm at the consultation meeting that she expected that avoidance is possible so that her family ancestor's temple could be kept intact.

**Disclose RAP:** This draft RAP was disclosed in English at the World Bank's website in December 2016 and in Vietnamese at the office of PMU and Tan Chanh Hiep Ward People's Committee on 13 January 2017 prior to commencing project appraisal.

#### 4.4. Mechanism for Information Disclosure, Public Consultation and Participation during RAP implementation

As the project starts its implementation, more information will be become available, such as results of replacement costs survey, updated compensation package, detailed design of resettlement, and updated RAP implantation plan. These information need to be consulted with and disclosed to affected households in a manner similar to those applied during project preparation. For severely affected households, such as those who need to relocate, or change their job, these people will be invited to consultation as the detailed and final information about project's compensation policies, resettlement and livelihoods options are important and help them make informed choice on mode of compensation and resettlement. The consultation and participation should be gender inclusive. All consultations with affected people need to be documented and attached to updated RAP and stored in PMU office for reference.

Prior to planned consultation events, information on compensation and entitlements will be summarized in information sheet, and will be explained verbally to participants during consultation meetings to enable them to understand clearly the policies and provide meaningful feedback. During project implementation, Leaflets summarizing key policies points will be provided to affected households during consultation meetings. Leaflet are useful for affected households to share with their family members and for future reference.

## V. PRINCIPLES AND POLICIES FOR COMPENSATION, SUPPORT, RESETTLEMENT AND LIVELIHOOD RESTORATION

### 5.1 General principles

#### 5.1.1 Principles for Compensation and Support

- Households/individual/organization whose assets such as lands/houses/structures/crops, etc. and/or business are affected as a result land acquisition are entitled to compensation. Severely and vulnerably affected households will receive additional financial support to restore their livelihood to the pre-project level, and are eligible to participate in Livelihoods Restoration Program (See Section 5.2.4 for Livelihoods Restoration Program).
- Land will be compensated in cash at replacement cost for agriculture land and “land for land” or in cash for residential land at replacement cost depending on the choice of the affected households. PAPs who prefer “land for land” will be provided land plots in resettlement site nearby, and cash adjustment for difference between their land lost and the land plots provided.

- Compensation rates for affected land and non-land assets will be determined based on the replacement costs survey to be conducted by an independent price appraiser engaged by Project Owner/District 12 People's Committee.

### 5.1.2 Principles for Physical Resettlement

- All households who lose their houses (fully affected, or partially affected but the remaining part is not usable) must be entitled to buying at least a standard land plot from the project's resettlement site.
- Households building houses on non-agricultural land prior to the project's cut-off day but are eligible only for financial assistance will be additionally supported in terms of finance to enable them to afford a standard land plot in the project resettlement site if they have no other place to move to.
- The resettlement area will be planned properly and implemented in full consultation with PAPs. All basic infrastructures, such as paved roads, sidewalks, drainage, water and electricity access will be available before PAHs move in. Costs for these infrastructures will be covered by the Project Owner.
- Relocating households who prefer "cash for land" will be compensated in cash at the full replacement cost.
- All fees and taxes related to land conversion and LURC issuance will be either waived or included in a compensation package.
- Compensation and allowance must be provided to affected households at least 30 days prior to the taking of the assets for those who are not to be relocated and 60 days in advance for those who will have to be relocated. Exceptions should be made for vulnerable groups who may need more time.
- By the end of the project, if the livelihoods of affected households have not yet restored to pre-project levels, additional support measures will be provided.
- As this RAP is one of the project components, the project will not be considered complete until the RAP is fully implemented and meets the objective of the World Bank's OP 4.12.

## 5.2 Eligibility Criteria and Entitlements

### 5.2.1 Eligibility Criteria

The eligibility criteria of affected people for entitlements to compensation, support and resettlement are defined on the basis of the World Bank's Operational Policy on Involuntary Resettlement (OP 4.12), relevant Laws of the Government of Vietnam, and consultation with

affected households. The eligibility for entitlements to compensation is determined by asset ownership criteria. There are three types of affected households as below:

- Those who have formal legal rights to land;
- Those who do not have formal legal rights to land at the time the census begins but have claimed to such land and/or assets - provided that such claims that are recognized or recognizable under the laws of the country, or become recognized through a process identified in the resettlement action plan;
- Those who have neither formal legal rights nor recognized or recognizable claims to such land that they are occupying.

Persons covered under (i) and (ii) are eligible for compensation payment at replacement cost for the land and non-land assets that they lose, and other assistance. Persons covered under (iii) are provided resettlement assistance in lieu of compensation for the land they occupy, and other assistance, as necessary to achieve the objectives of resettlement set out in this policy, if they occupy the project area prior to the project cut-off date (16 August 2016). Persons who encroach upon the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance. All persons included in (i), (ii), or (iii) are provided with compensation for loss of owned or used assets associated to affected land, including businesses associated to affected land if they have been created before the project cut-off date. Please see the definitions of **affected households** and **severely affected households** from the Section on *Definition of Terms* (above).

#### ***Splitting affected households after the cut-off-date.***

Households with various generations sharing the same house are allowed to split after the project's cut-off-date (16 August 2016) if they are eligible for splitting as per the national Law of Residence (dated 29 November 2006, effective as of July 1, 2007) – as specified at Article 6 of Decree 47/2014/ND-CP and Land Law 2013. Where splitting is allowed under Decree 47/2014/ND-CP, the allocation of land plots for families sharing the affected land will be considered by HCMC PC.

### **5.2.2 Entitlements**

With respect to a particular eligibility category, entitlements are the sum of compensation and other forms of support, including allowance, bonus (conditional), and opportunities to participate in livelihoods restoration program (See Appendix 1 - Entitlements Matrix, for details).

### **5.3 Compensation and Support Policies**

All affected households will be entitled to compensation for their affected assets, and support in livelihoods restoration.

### 5.3.1 Compensation for Permanent Impact

#### **a. Agricultural land:**

##### **PAP with formal right to affected land (with LURC or eligible for LURC)**

Compensation will be made at full replacement costs plus support for job training/creation equal to not exceeding 5 times of compensation price for acquired agriculture land for the acquired area. The supported area is not exceeding quota of land allocation in locality.

Addition to compensation for land and above support, households losing 20% or more of their total agricultural landholding, and 10% for poor/near-poor, and/or vulnerable groups, are considered *severely affected* and are entitled to allowance for life stabilization and participating in livelihoods restoration program (See Section 3.2.3 for allowances and 3.2.4 for livelihood restoration support).

If the remaining land area (not affected) is not economically viable, the area will be acquired and cash compensation will be paid for the remaining land area at replacement cost ((*Article 77 of Land Law 2013, Article 4 of Decree 47/2014-ND-CP*))

#### **In particular,**

##### **For annual crop land:**

- Compensation will be paid in cash at full replacement cost for all the affected area within governmental allocated quota of 3ha. For area exceeding the 3ha-quota, compensation will be made only for the Remaining Land Investment Costs<sup>6</sup>, which is the costs already invested in the land but has not been recovered by the time of land acquisition (Article 129,130 of Land Law 2013). In case where land is owned by inheritance, compensation will be paid at full replacement costs for all the affected area. For cases where land is owned by land transfer, compensation will be made in accordance with Article 8 of Decision No. 23/2015/QD-UBND of HCMC PC.

##### **For perennial land:**

- Compensation will be paid in cash at full replacement cost for the affected area within governmental allocated quota of 10ha. For area exceeding 10ha-quota, compensation will be made only for the Remaining Land Investment Costs (Article 8 of Decision No. 23/2015/QD-UBND of HCMC PC).

[Article 77, 129 of Land Law 2013, Article 4 of Decree 47/2014-ND-CP, Article 8 of Decision No. 23/2015/QD-

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<sup>6</sup> "Remaining Land Investment Costs", as per Land Law 2013, are costs that the land user has invested in land but have not been fully recovered by the time of land acquisition. These includes, for instance, costs of: a) landfill, b) soil fertility improvement, soil erosion prevention (for farming purpose), c) foundation preparation (for business purpose), d) other investment as appropriate to the land use purpose (Article 7, Decision 23/2015/QD-UBND of HCMC PC, Article 3, Decree 47/2014/ND-CP).

**PAP with no formal or customary rights to affected land**

Compensation will not be paid for land but for trees/crops if they have been created before the cut-off date and cash assistance will be provided on the basis of land origin, reasons for ineligibility, and the time when the land was put into use.

*[Article 21 of Decision No.23/2015/QĐ-UBND of HCMC PC]*

**In particular,**

- **No LURC, not violating the Land Law before 1 July 2014<sup>7</sup>, and not eligible for a LURC**

For land stably used before 1 July 2004, as prescribed at Item a and b, Clause 5, Article 20, Decree 43, PAP is financially supported at 100% of agricultural land price but the supported area is not exceeding 10,000m<sup>2</sup> per household. Area exceeding the 10,000m<sup>2</sup>-quota will be financially supported only for the Remaining Land Investment Costs *[Item c, Clause 1, Article 21 of Decision 23]*.

- **No LURC, violating the Land Law (using public land, etc.,) but no preventive action was made by local authority**, financial assistance will be considered on the basis of the land use history *[Article 21 of Decision 23/2015/QĐ-UBND of HCMC PC]*, as follows:
  - If households use agricultural land (claimed by themselves) as prescribed at Item 4, Article 22 of Decree 43, financial assistance is provided at 100% costs of agricultural land but supported area is not exceeding 10,000m<sup>2</sup> per household. Exceeding area, if any, will be financially assisted in terms of Remaining Land Investment Cost.
  - If households used the land as direct farming households before 15 October 1993, assistance will be provided at 100% cost of affected agricultural land, but supported area is not exceeding 10,000m<sup>2</sup> per household. Exceeding area, if any, is not financially assisted.
  - If current land is agricultural land and the household has used the land as direct farming household since 15 October 1993 to prior 1 July 2004, assistance will be provided at 80% costs of affected agricultural land, but supported area is not exceeding 10,000m<sup>2</sup> per household. Exceeding area, if any, is not financially assisted.
  - If current land is agricultural land and the household has used it from 1 July 2004 to prior 1 July 2014, assistance is provided according to decision of PPC.

***PAP with leased rights***

- ***PAP renting land managed by government***

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<sup>7</sup> The date when the Land Law 2013 was entered into force.



Households who lease government-managed land (with annual rental payment, or a one-off rental payment for the entire lease period) will not be compensated for the affected land, but compensated for the Remaining Land Investment Cost which will be calculated on the basis of survey Affected assets on rental land including crops and/or structures will be compensated at full replacement costs if created before the cut-off date.

*[Article 76 of the Land Law 2013, Article 8 of Decision No.23/2015/QĐ-UBND]*

- ***PAP leasing private-owned land for farming purpose:***

Households who rent private-owned land for agricultural purpose will not be compensated for land but for crops and structures, if any and created before the cut-off date, on the affected land at replacement costs. Compensation for affected land will be paid for the eligible land owner at replacement cost.

In addition to compensation for the affected land, severely affected and/or vulnerable/social-policy households are provided with allowance, and eligible to participate in livelihoods restoration program, and provided with conditional bonus.

## **b. Residential Land**

### ***Loss of residential land with no houses/structures thereon:***

- (i) ***PAP with formal right to affected land (legal or legalizable):***

Compensation for loss of land will be paid in cash at full replacement cost.

- (ii) ***PAP without formal right to affected land (illegal or illegalizable):***

No compensation for land but financial support for loss of land depending on the time when the affected land was used according to the Land Law 2013.

### ***Loss of residential land with houses built thereon, and the remaining (non-acquired) land is adequate to reorganize:***

- (i) ***PAP with formal right to affected land (legal or legalizable):***

- Compensation for loss of land will be paid in cash at replacement cost
- Compensation for houses/structure, see Section c. below.

- (ii) ***PAP without formal right to affected land:***

- Compensation for affected land as regulated in item (ii) below. If the remaining land is large enough for reorganization according to regulation of the PPC and no violence with master planning of locality, AHs can reorganize on the remaining land and have to pay land use fee. PPC will decide case by case.

- Compensation for partly or entirely affected houses/structure (See Section c. below). Costs to repair the remaining houses are covered by the Project.

***Loss of land with houses built thereon, and remaining (non-acquired) land is not adequate to rebuild the house (relocating PAP):***

***(i) PAP with formal right to affected land:***

Compensation by land for land in resettlement site or cash for land at full replacement cost depending on choice of AHs. Compensation for houses will be paid at full replacement cost if created before the cut-off date.

In case compensation value for the affected residential land is less than the cost of a standard land plot in the designated resettlement site, relocating households will be provided with a financial support equal to the difference to enable them to have the land plot in the resettlement site. If AHs prefer self-relocating to other place, a financial amount, equal to the difference between the cost of the standard land plot in the designated resettlement area and total compensation amount for the affected residential land, will be provided to the relocating households. Cost of a standard land plot is regulated by HCMC PC. [Article 86 of Land Law 2013, Article 27 of Decree 47/2014/ND-CP].

***(ii) PAP with no formal right to affected land:***

Compensation for houses will be paid at full replacement cost if created before the cut-off date.

Compensation for land and structures will be as follows:

- If PAP uses non-agricultural land<sup>8</sup> with house on it prior to 1 July 2004, and the land was obtained by encroachment, PAP will be provided with a new residential land plot in the project's resettlement site, or are entitled to buying a new resettlement house if they have no place in the project ward to move by the time of land acquisition [Article 11, Decision No. 23/2015/QD-UBND of HCMC PC, Article 7 of Decree 47/2014/ND-CP, Article 80 of Land Law 2013].
- If PAP is not eligible for LURC (as specified at Article 22 of Decree 43/2014/ND-CP) and is using land with house thereon and violation of the Land Law without preventive action from local authority, depending on land use history, PAP will be considered for cash assistance and compensation for house/structure if created before the cut-off date - in accordance with regulations of City's People's

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<sup>8</sup> Non-agricultural land – as prescribed at Article 10 of Land Law 2013, include land such as public land, river land, industrial land, production land, etc.

Committee.

- PAP who rent private houses for living purpose are not compensated for land and houses but are supported with regards to transportation allowance as specified by HCMC PC by the time of compensation payment (See Allowance at Section 5.3.3).

In case where the financial support for the affected households (with house on it) is less than the cost of a minimum land plot in the designated resettlement site, and the affected household has no other house or residential land to move to, they will be provided with additional financial support - other than the financial support mentioned under point (b) and (c) above, to enable them to buy a land plot in the resettlement site. If AHs prefer relocating to a place different from the resettlement site (self-relocating), this additional support will be provided to the AHs.

**c. Compensation for house and secondary structures.**

- *For entirely affected house and secondary structure*, regardless of the legal status of the affected land and if the affected house/structure has been constructed before the project cut-off date compensation will be paid at replacement costs for affected house and structure to construct new house/structure with similar technical standard, without depreciation and deduction of salvageable materials. For partially affected house and structure, addition to compensation for affected part at replacement cost, compensation for expenses to repair the remaining part will be paid at rate with concurrence of the affected household.
- *For equipment and/or production line*, affected business household who own the equipment or production lines will be compensated for all costs associated with the disassembly, transportation, re-installation of the affected equipment and/or production line. In case irremovable or broken during removal. Compensation for the equipment and/or production line will be paid at replacement cost. An appraiser specialized in appraisal for such equipment/production lines will be engaged by the project owner to evaluate the costs - subject to review and approval of the District PC.
- *For small assets requiring specialized installation*, including landline phone, water connection, electric connection, cable TV, internet connection, etc., all costs related to uninstallation and re-installation at new house/business premise will be compensated at replacement costs.

**d. For Impact on Standing Crops, Trees, and Aquaculture products:**

For annual and perennial trees, standing crops, or aquaculture products, compensation in cash will be paid at full replacement cost, irrespective of the legal status of the land, and are in line with Article 90 of the Land Law 2013 and Article 27 of Decision No. 23/2015/QĐ-UBND issued by HCMC PC dated May 15, 2015.

#### **e. Compensation for affected businesses**

*For income loss resulting from contract termination:* For households/individual who rent government or private-owned land for non-farm business, and the land rental is made on renewable contract basis. By the time when the affected land must be returned to government but the land lease contract is still valid, compensation will be paid – as agreed upon in the land lease contract, if any. Loss of income will be compensated as per Land Law 2013.

*For loss of income incurred by business owner,* the mechanism for compensation is as follows:

- For registered businesses, compensation will be paid in cash for the loss of net business income, equivalent to 50% of the annual average net income - as declared with the tax agency during the recent three years (this amount is equivalent to 100% of monthly net income for 6 months).
- For non-registered businesses, whose operations are recognized by local authority and whose net income from non-registered businesses is affected, compensation will be paid in cash for the income losses for at least 3 months.
- For households who do retailed business. They do not have business license and do not pay tax, including also *squatter* whose business is located on the right of the way, compensation will be a one-off allowance of 3 million VND per household.

*For loss of income incurred by business employees,* employees who permanently lose their existing job due to acquisition of land on which the business are located will receive an unemployment allowance at the basic wage level for up to 6 months. Cash assistance for vocational training will be provided to the affected employee. HCMC PC will decide on the assistance level for vocational training.

If they lose their income only temporarily during the business transition period, they will be supported with an allowance as specified by District PC.

#### **f. Compensation for Graves.**

The relocation of graves should be done on the basis of full consultation with the affected households to meet the customs and habits of affected households with regards to relocation of graves. Compensation payment for affected graves includes full costs associated with a) land for re-burial, b) excavation, c) relocation, d) reburial, e) construction of new tombs, and f) other reasonable related costs which are necessary to meet local customs and habits.

Land for relocation of all affected graves will be provided to the affected households - at a graveyard as designated by the District PC. Affected households will be informed of the location of this graveyard so that they can decide where to relocate the affected graves – to the designated graveyard, or to somewhere else in accordance with their customs and habits.

If the affected households decide to relocate the affected graves to the graveyard – as designated by the District PC, the land will be provided to all the affected graves at no costs to them. If they decide to relocate the affected graves on their own, the replacement cost for buying land will be compensated for.

In case owner of the affected graves could not be identified, public announcement have to be made (on TV, popular newspaper) for a number of times to look for the grave owners. Within a reasonable time, if grave owners could not show up, the relocation of graves should be done by a specialized unit in consultation with the District Department of Health. The geographical location and status of the graves (with photos taken in details), the procedure of grave relocation, and the new location of the graves have to be documented carefully for the owner's use at a later time.

#### **g. Compensation for Loss of Public Structures and Community Assets.**

Where public structures such as schools, health centers, libraries or other cultural centers, recreational parks, public roads, water transmission pipelines, and electricity transmission lines are affected, such affected works will be restored, and repaired or compensated to ensure normal operation at no cost to the local community.

#### **5.3.2 Compensation for Temporary Impact (during construction)**

During the construction process, if local households outside the project area are affected temporarily as a result of the construction, the impact will be assessed and included in the updated Resettlement Action Plan. Depending on the nature of impact, compensation for the adverse impact will be compensated for, as follows:

##### **a. Temporary impact on land/ local business:**

- In case residential land without house/structure thereon is temporarily acquired during construction, the affected land will be compensated equal to the rent of such land in locality for the duration of temporary use. Upon return of affected land to affected people, the affected land must be restored to its pre-project condition – as agreed with the affected households.
- In case business activities of households are temporarily affected during construction, resulting in loss of income that derive from such business, the loss of income should be compensated for the entire period of impact – as agreed with the affected households.
- Contractors will be informed of the RPF/RAP and should explore alternative construction method to avoid temporary impact. If avoidance is not possible, contractors will compensate for the above temporary impact in accordance with the RPF and RAP. Temporary impact is subject to both internal and external monitoring (See Section VII for monitoring requirements).

**b. Compensation for damages caused by contractors to private or public structures.**

Damaged property will be restored to its former condition by contractors, immediately upon completion of civil works. Under construction contracts, contractors will be required to take extreme care to avoid damaging property during their construction activities. Where damages occur, the contractor will be required to repair the damage or pay compensation to affected families, groups, communities, or government agencies at the same compensation rates as specified in this RAP.

**c. Compensation for unpredictable impacts.**

Any other impacts identified during project implementation will be compensated in accordance with the compensation principles and policies set forth in this RPF and in line with the World Bank's OP 4.12.

### 5.3.3 Allowances

Besides the compensation for affected assets, AHs, especially severely and vulnerably AHs will be provided with allowances to support them during the transition period to restore or improve their livelihood and lives. The assistance levels will be adjusted, taking into account inflation factor and price increase - as appropriate, at the time of resettlement implementation.

**For affected residential land/houses:**

- ***Transportation Allowance:***

- For households who need to resettle in a new residential area, an amount of 6,000,000 VND will be provided if they physically relocate within the area of HCMC. If relocating outside of HCMC, the transport allowance will be 10,000,000VND [*Decision No.23/2015/QĐ-UBND of HCMC PC*].
- Relocated households who rent private house for living purpose will be provided with a transportation allowance not exceed the rate mentioned above.

- ***House Renting Allowance/ Temporary Accommodation:***

House renting or temporary accommodation allowance will be provided to relocated households for 6 months, and also to re-organized households for 3 months for establishment of new house. Married adult offspring sharing house with their parents are provided with house rental as an affected household.

Relocation plan needs to be discussed clearly with affected households to minimize the time duration for temporary accommodation as this may affect the income generation activities/livelihoods of the affected households.

- **House Repair Allowance:** If house/structure is partially affected and the remaining structure is viable for continued use subject to appropriate repair, all actual repairing costs for the affected part of the house/structure are paid by the Project, to enable PAPs to restore it to former or better conditions.
- **Land Use Right Certificate:** For resettling households, all costs related to issuance of Land Use Right Certificate for their new houses - either located in the project's resettlement site, or elsewhere (if PAP relocates on their own) will be covered by the Project – by either including the estimated costs for LURC issuance included in the compensation package for self-relocating households, or providing by the Project Owner (later on) for those resettling in the project's resettlement site at no additional cost to them. For re-organizing households whose land and house are partially affected, the costs relating to updating the LURC will be covered by the Project.
- **Allowance for Livelihood Stabilization (during transition period):** (i) PAPs losing 20% - 70% of their agricultural landholding (or 10% - 70% for the poor, near-poor, and vulnerable groups) will be provided with an allowance of 500.000VND/person/month for 6 months if they do not have to relocate, and for 12 months in the case of relocation. In some special cases, allowance may be provided up to 24 months; (ii) PAPs losing more than 70% of their agricultural landholding will be assisted at the above rate for a period of 12 months if they do not relocate, and 24 months in the case of relocation. In some special cases, the allowance may be provided up to a maximum of 36 months; (iii) PAPs affected with less than 20% of the land and their remaining land is cannot be used will receive the allowance for 12 months.

HHs with no recognized land use right will receive allowance equal to 60 % of the above rate provided for the legal, legalizable land users.

*[Article 34 of Decision 23, Article 19 of Decree 47/2014/ND-CP]*

- **Subsistence allowance:** equivalent to the market value of 30 kg of rice/person/month for three months if PAP have to rebuild house on their remaining land and for six months if PAP have to relocate to new site.

#### **Allowances for job training/job change/job creation:**

- **Affected households who are directly engaged in agricultural production:** these households will be supported in job training/job change and job creation with an amount of cash allowance which is not exceeding 5 times compensation value of affected agricultural land in accordance with *Decision 23/HCMC PC [Article 20 of Decree No. 47/2014/ND-CP, Item 4 of Article 22 of Decision 23/HCMC PC]*. For those who are at work age and wish to be trained for a particular job will be admitted to local training



school and will be supported to find a new job and borrow loan to start a new job.

- **Affected households who are running their business at their residential land/house with the main income coming from this business:** For those who are at working age and wish to be trained for a particular job will be admitted to local training school and will be supported to find a new job and borrow loan to start a new job.

Specifically,

- Affected households who are eligible for this support are entitled to participating in one training program at no costs to them within a period of five years (from the date the Decision for Land Acquisition is issued). Free job consultation/orientation are offered at local Job Service Center.

*[Decision No. 63/2015/QĐ-TTg, Decree No.47/2014/ND-CP]*

**Note:** During the preparation of the training/job change/job creation program, consultation must be done with the affected households *[Article 84, Land Law 2013]*

#### **Allowances for Vulnerable Households:**

- Female headed households with dependents and economic difficulties, households with disabled persons, elderly without any source of support will be provided with an amount of not less than VND 3 million per household.
- Relocating households with heroic mothers, heroic armed force personnel, labor hero, war veterans, wounded or dead soldiers, will be provided with support as regulated by the HCMC PC from 3 million to 6 million VND per household;
- Poor households with certificate, or near-poor households, will be supported with an amount of 5 or 3 million VND/household, respectively.

#### **Incentive Bonus:**

- All affected households who hand the affected land over to local authority at the date as scheduled after receiving full compensation and allowances will be given an incentive bonus. Bonus rate will be determined by Ho Chi Minh City Peoples' Committee at the time of compensation payment.

### **5.3.4 Livelihoods Restoration Program**

All households who are *severely affected* and/or *vulnerable* will be eligible to participate in the Livelihood Restoration Program (LRP), which include trainings on agricultural extension, vocational training, credit access and other measures as recommended and appropriate to support their livelihoods restoration to the pre-project level – as a minimum. The LRP will be developed in consultation with affected households on the specific measures that they need to assist in the



livelihoods restoration. Vocational training will be provided to all labor-age members of the affected household, if they need.

The LRP will cover the following area of development:

- ***Training courses on agricultural extension:*** depending on the needs and the number of PAP registering this type of training, a training course will be designed and provided in the area of agricultural extension for PAP who continue their farming. In case the number of households are small (not sufficient for organization of a stand-alone training course, PAP will be introduced to relevant training program that are organized by Vocational Training Center of HCMC PC.
- ***Training courses on business development skills:*** households who lose income from their on-going business, including those who run small shops, doing retailed services, households who keep dairy cow, could register to join this course. The popular training program for small business development, namely *Start and Improve Your Business*, could be requested from the HCMC Chamber of Commerce and Industry (VCCI). This course is three-day long and has been proven very useful to help small household to start a new business, or to improve their existing business in Vietnam. Training will be provided to all working-age members of the affected household, if they need.

***Vocational training:*** depending on the result of the needs assessment, specific vocational training will be designed that tailors the specific needs of the affected households.

- ***Credit loan:*** households who lose income from their current farming activities or farm or non-farm businesses are eligible for access credit loan to help their restoration and improvement of their income – through business development. PAP will be introduced to the ongoing ***Fund 156***– a credit program managed by the HCMC Bank of Social Policies with a view to provide credit loan to households affected by land acquisition across HCMC. As part of the LRP, all severely affected households will be informed of this credit program so that they can make full use of it, if they need. PAP are recommended to attend the *Start and Improve Your Business* course, meanwhile considering the loan opportunity from Fund 156 to develop further their business – once settling down in the new area.

The LRP will be updated in consultation with affected households after the Resettlement Action Plan is finalized and disclosed to the affected households for consultation purpose. During the final consultation to update RAP, PAP will be consulted for specific needs for training/credit access and the LRP will be updated, as part of RAP updating.

Costs related to implementing the LRP will be provided by the Project Owner.

## 5.4 Entitlements Matrix

With respect to a particular eligibility category, entitlements are the sum of compensation, relocation and other forms of support, including allowances, bonus (conditional), and opportunities to participate in livelihoods restoration program. According to IOL and local/central government policy on compensation, support, resettlement and the WB OP4.12 an entitlements matrix was established for the subproject to ensure all affected households and affected assets will be compensated and assisted to help affected households restore and/or improve their lives and livelihood to pre-project conditions (See Appendix 1 - Entitlements Matrix, for details).

## VI. IMPLEMENTATION ARRANGEMENTS

The implementation of the resettlement activities, as set forth under this Resettlement Action Plan, requires the participation of governmental agencies at national, city, district, and ward level. Ho Chi Minh City People's Committee take the overall responsibility for the implementation of the RAP. Compensation, Assistance and Resettlement Committees shall be established at district level according to the provisions of Decree 47/2014/CP. The provisions described in the RAP are the legal basis for the implementation of resettlement activities.

### 6.1 Responsibilities of Stakeholders

#### **Central level – MOET, MOIT and Central Project Management Unit:**

**MOET and MOIT** - The Ministry of Education and Training and the Ministry of Industry and Trade, on behalf of the Government, is the project owner at central level and have an overall responsibility for the implementation of the Project. Four universities participating in the project as project beneficiaries, including IUH, VNUA, HUST, NEU, will have the responsibility for investment decisions under their respective sub-projects which are managed by their line Ministries.

**Central Project Management Unit:** A CPMU will be established under the MOIT to take the overall responsibility to supervise and monitor the project's investment activities and activities related to land acquisition, compensation, support and resettlement under the Project. CPMU will assure all resettlement activities taking place under the Project area in compliance with the Project's RPF and RAP. Specifically, CPMU will:

- Cooperate with City PCs, and relevant local competent agencies to conduct compensation and resettlement.
- Organize training and building capacity for PMU where land acquisition will take place.

- Cooperate with PMU to monitor internally compensation, resettlement;
- Report periodically on resettlement progress to MOET, MOIT.

**Project level:**

- **Ho Chi Minh City People's Committee (HCMC PC):**

HCMC PC is responsible for:

- Reviewing and approving the Resettlement Policy Framework, and the Resettlement Action Plan/updated Resettlement Action Plan;
- Appraising and approving the results of Replacement Costs Survey;
- Directing relevant Departments and District 12 PC in implementation of RAP within the line of authority;
- Solving complaints/grievances – as appropriate.

HCMCPC will also:

- Maintain an overall oversight of the RAP preparation and implementation, and provide guidance to relevant departments, District People's Committees, where required, to ensure effective and timely collaboration and coordination between these agencies in the preparation and implementation of site specific RAP.
- Ensure the RAP is prepared in accordance with the requirements set forth in this RPF. Once a RAP is concurred by the World Bank (via a No Objection), HCMCPC will approve the final RAP, or designate District 12 PC to ratify the RAP to enable RAP implementation.
- Ensure that compensation resettlement and livelihoods restoration of affected households will be implemented and monitored in accordance with the RPF and RAP.

- **Project Management Unit (PMU)**

For the IUH subproject, the PMU – already established will represent the Industrial University of Ho Chi Minh City (herein referred to as Project Owner) and will be responsible for day-to-day implementation of the Project, including preparation, implementation, and monitoring and evaluation of the approved RAP. The key tasks include the followings:

- Take lead in recruitment of two consultants – one carrying out a replacement costs survey (as mentioned at Section 6.4), and one conducting periodic independent monitoring on RAP implementation (as mentioned at Section 9.2).
- Ensure the required budget for RAP implementation is timely and sufficiently allocated

for planned compensation payment/resettlement – as described in the RAP.

- Update RAP and conduct internal monitoring on RAP implementation as per requirements set forth under Section 9.2 of this RPF;
- Designate staff with solid experience in resettlement and familiar with Bank's OP 4.12 to act as a social safeguards focal point for PMU. This focal point will provide regular support to District 12 People's Committee in RAP implementation. If such experienced staff are not available, a consultant should be recruited. The Terms of Reference for this consultant will be subjected to Bank's prior review;
- Prepare quarterly progress reports and submit those reports to the WB;
- Conduct training on requirements of project's RPF and RAP; work closely with District 12 People's Committee and District Board for Compensation and Land Acquisition in updating RAPs based on the completed Detailed Measurement Survey, consultation and Replacement Costs Survey;
- Submit updated RAP to the Bank for review and concur before implementation.

- **District 12 People's Committee (DPC):**

DPC shall be responsible for:

- Preparing annual land use plan and submit to competent authorities for review and approval of changed land use plan - as prescribed by law.
- Issuing Notice of Land Acquisition to each affected households and direct District Board for Compensation and Land Acquisition, and commune-level People's Committees to implement the approved RAP.
- Directing the implementation of the RAP;
- Directing District Board for Compensation and Land Acquisition and ward/commune People's Committees in disseminating information and compensation and resettlement policies, conducting surveying, geodesy and DMS and implementing the RAP.
- Directing the evaluation of compensation, support and resettlement, compensation plan approved, support, resettlement and issued a decision to withdraw the land under their jurisdiction;
- Adjusting or grant a new land use right certificate for the land to be acquired, and for relocated households.
- Settling complaints related to land acquisition, compensation, support and resettlement in the district within its jurisdiction.
- Approving the compensation support and resettlement assessment to be carried out by the DBCLA

- **District 12 Board for Compensation and Land Acquisition (DBCLA):**

DBCLA shall be responsible for:

- Coordinating with PMU and ward -level People's Committee to disseminate information and policies on project's compensation, support and resettlement to affected households, and conducting community consultation, surveys, surveying, detailed measurement survey (DMS) for affected assets to formulate plan for compensation, support and resettlement; being responsible for the accuracy and completeness of the survey data, surveying, and DMS;
- Preparing the plan for compensation, support and resettlement and conducting consultation with affected households on plan for compensation, support and resettlement for review and approval by District PC; disclosing the approved plan for compensation, support and resettlement to the affected households;
- Organizing compensation payment and provision of assistance to affected people;
- Arranging resettlement for relocated households, land acquisition, and handover of acquired land to the construction units;
- Leading and coordinating with PMU and ward-level People's Committee to implement Livelihood Restoration Program;
- Assisting district People's Committee to settle complaints concerning land acquisition, compensation and resettlement.
- Supporting DPC in issuance of LURCs for land plot in the resettlement site.
- Support the external monitoring consultant for conducting independent resettlement monitoring– as required under this RPF.

- **Ward/Commune level – Tan Chanh Hiep Ward People's Committee:**

The Ward/Commune PC shall be responsible for:

- Cooperating with DBCLA in arranging compensation payment, resettlement and livelihood restoration implementation;
- Providing documents related to the origin of land use by affected households; confirming the eligibility of affected persons and affected assets;
- Assisting competent authorities to resolve land disputes and complaints of affected people.
- Assisting DPC, DBCLA in organizing meetings, public consultations, socioeconomic survey during RAP preparation and implementation;
- Establishing working groups at the Sub-ward level to support DPC and DBCLA in conducting Detailed Measurement Survey, Replacement Costs Survey, Socioeconomic

Survey, and provision of required information to support the preparation and implementation of RAP;

- Identifying replacement land for the affected households who are eligible and propose livelihoods restoration programs appropriate to the conditions of the people and the locality;
- Resolving complaints at the ward/commune level - as prescribed by the existing law;
- **Community level - Responsibilities of affected people:**
  - Cooperating DBCLA and Ward/Commune PC in all activities related to land acquisition, compensation, support and resettlement;
  - Handing over of the affected land to the project on time upon receiving full compensation and support package;
  - Supporting in reconciliation of households with regards to land disputes, and helping affected households in the process of resettlement and livelihoods restoration;
  - Appointing representatives in the Compensation Board to participate in monitoring the implementation of the plan for compensation, support and resettlement.

## 6.2 Updating of RAP

### 6.2.1 Key issues subject to RAP Updating

After completion of detailed measurement survey if there are significant changes in scope of impact and replacement costs, this RAP needs to be updated and submitted to Bank for review prior to implementation. When updating, the RAP needs to reflect the results of the following exercises which will be done.

- *Detailed Measurement Survey*
- *Additional Socioeconomic Survey* – only in case where there is significant changes in technical design which increase/decrease remarkably the number of affected households.
- *Additional Public Consultation* with affected households, particularly on the resettlement options, and orientation for livelihood restoration.
- *Replacement Costs Survey*
- *Detailed Design of Resettlement Site* which will be available following the review by HCMC Department of Architecture and approval of HCMC PC.
- *Needs Assessment* for relocation options and livelihood restoration program.

### 6.2.2 Approval of updated RAP

The updated RAP needs to be submitted to the Bank for review and endorsement.

Implementation of updated RAP could be proceeded only when the updated RAP is agreed by the Bank, indicative of the Bank's No Objection to the implementation of the updated RAP.

### 6.3 Implementation of RAP

(i) Public meeting with PAP: During RAP implementation process, PMU - in collaboration with DBCLA must continue to hold public meetings with PAP to agree with PAP on the results of Detailed Measurement Survey, replacement costs survey, and compensation packages. The meetings should be organized to update PAP on design of resettlement sites – once approved by HCMC PC, and any update on the compensation and support policies, if any, in 2017, Meaningful feedback from public meetings should be considered carefully and integrated in the subproject design and mitigation measures.

(ii) DMS and replacement cost survey: By this time, DMS has been carried out but has not been completed. Once completed, the DMS should be shared with PAP for PAP's verification. Also, as soon as the replacement cost survey is completed and compensation rates are approved, meetings with PAP should be hold to ensure PAP know the approved compensation package and resettlement option for their continued feedback for final agreement on the compensation and resettlement package.

(iii) Preparation of compensation and resettlement plan, appraisal and approval: compensation and resettlement plan, once approved, should be submitted to the World Bank for prior review prior to district's approval for implementation.

(iv) Payment of compensation and allowance: According to Article 93 of Land Law 2013, within 30 days since the date the Decision for Land Acquisition is issued to affected households, payment of compensation and allowances for AHs has to be proceeded by District Department. In case where affected households refused to receive the payment or have family conflict, the payment amount must be deposited in an escrow account which is the District State Treasury until the issue has been resolved and the affected households are ready to receive their compensation package.

(v) Arrangement of relocation and land acquisition: To assure relocation of affected households is done in a way that minimizes identified adverse impact on the livelihoods of PAP, consultation must be hold timely with PAP to ensure PAP agreed on the compensation package and confirm their preferred resettlement option to assist an effective relocation and land acquisition process.

(vi) LRP implementation: during RAP implementation, the LRP must be updated – on the basis of additional consultation with PAP. Consultation with PAP for updating LRP should only be done after PAP decide on where and how the relocate, and agree on the proposed compensation package. LRP should be conducted as a needs assessment – with structures survey to be able to quantify the number of LRP participants, methods and mode of training, the number of trainings

for each training subjects.

(vii) Grievance redress: during RAP implementation, PAP should be informed again of the Grievance redress mechanism to make sure complaints, if any, are effectively solved to avoid any possible delay in relocation, compensation payment, and land acquisition process.

(viii) Monitoring and evaluation. PMU needs to start the internal monitoring process by appointing a specialized staff to help PMU work closely with DBCLA and other relevant governmental agencies to finalize the compensation and resettlement plan, and monitor the implementation process. An independent monitoring consultant needs to be recruited to help PMU with a more specialized monitoring exercise and to evaluate the results of the resettlement implementation.

### 6.3.2 Resettlement Arrangement

- **Resettlement Subproject**

A stand-alone resettlement subproject will be prepared separately by the Project Owner - for the purpose of approval by District 12 People's Committee as per local regulations. However, the resettlement subproject will be prepared in accordance with the resettlement principles set forth in Section 5.1.2 (above), and will be done in close coordination with the principles on Livelihoods Restoration Program set forth in section 5.2.4 and with implementation arrangement described in section 6.4.3. Altogether, compensation payment, resettlement arrangement and support for livelihoods restoration will be done in close coordination with close consultation with relocating households so as to minimize the adverse impact on the resettlement and livelihood restoration process of the relocating households.

- **Resettlement Site**

For this subproject, a resettlement site of 30,039.5m<sup>2</sup> which has been planned to accommodate relocated households of the subproject. The detailed engineering design is under development and expected to be approved by HCMC in the first half of 2017. The resettlement site is located within the project area - at the back of the new University campus, and is situated close to the University's planned Dormitory that is designed to host about 5,000 students) (See Area named "I" and "J" on the Map of Land Use for the HIU at Appendix 5). The land use within the resettlement site is planned with housing area, road and park. Areas for each area are indicated in the Table as below.

*Table 6 - Preliminary Land Use Plan for the Resettlement Site*

Functional area (m <sup>2</sup> )	Area "I"	Area "J"	TOTAL
Housing areas	15,126.7	5,258.6	20,385.3



Park	349.1	607.0	956.1
Road	6,812.3	1,885.8	8,698.1
TOTAL	22,288.1	7,751.4	30,039.5

The detailed engineering design for the resettlement site, once approved, will be disclosed for consultation with the relocated households for their feedback and consideration if they opt for the resettlement site.

- **Consultation on Resettlement Preference:**

The consultation results with PAHs show that of 35 households claiming the need for relocation, only 11.4% (4) said they plan to move into the project's resettlement site. 42.9% (15) prefer land for land, 22.9% (8) prefers compensation in cash and 22.9% (8) don't know yet. Affected households prefer moving in resettlement site require all infrastructure such as water supply, electricity, and roads be completed before they move in. As the consultation continues to be repeated – to assess more accurately the needs for moving into the resettlement site once the compensation and resettlement package are available, this RAP will be updated to reflect the expectation of relocating PAP for the purpose of site preparation and effective support in livelihoods restoration.

- **Physical Relocation**

Relocation of affected households need to be carefully done in close consultation with relocated households. For households who plan to move to the resettlement site, PMU needs to maintain a close coordination with relocated households. Effort needs to be made to ensure impact on current houses, including business combined with house, are minimized by ensuring that appropriate construction measures are developed and carried out in a manner that causes no or minimal impact on living activities of the household on Tan Chanh Hiep 10 Road until their new houses (either in the resettlement site or elsewhere) are ready to relocate to. This aim to minimize the loss of income and the need for house renting which affect both living and income generation activities of the households.

- **Construction of Resettlement Site**

Since the land must be acquired before the construction of the resettlement site could be started, priority will be given to compensation payment for the area of the resettlement site, including the planned access road to the resettlement site. The Project Owner will seek a special approval of HCMC People's Committee to allow the Project Owner to start the construction of the resettlement site as soon as compensation payment for the resettlement site area was completed

and the land was handed over to the Project Owner. It is expected to complete construction of the resettlement site in Q1/2018 and allocate land plot to relocated HHs in Q1/2018. LURC will be provided to AHs in Q2/2018.

- **Economic opportunities for relocating households**

As a resettlement site that is situated close to the University campus (the resettlement site shares the internal road with the University's Student Dormitory), it is anticipated that affected households who relocate to the resettlement site will have opportunities to develop income generation activities through catering and house rental service aiming at around 5,000 students residing in the Dormitory. As part of the livelihoods restoration program, economic opportunities will be assessed and relocating households will be advised, under the LRP, of such economic opportunities so that relocating households could choose one that are appropriate to them.

### 6.3.3 Gender Action

According to the requirements of the World Bank, this project needs to be informed on three gender dimension; *gender analysis*, *gender action*, and *gender monitoring* and evaluation (M&E). A gender analysis of the socioeconomic characteristics of the affected population has been presented in Section 3.3.4 (above).

**Gender Action:** As part of RAP implementation, the following gender actions will be made.

- ***Participation.*** Women should be invited to all consultation sessions throughout project cycle, particular to consultation done in groups to allow them chance to express their opinion, concerns, and to provide feedback on their resettlement and income/livelihoods restoration process. Women are prioritized to work in the project if needed.
- ***Well-informed of Project Impact.*** The potential impact of resettlement and livelihoods restoration should be further informed to the affected women so that they are fully aware of the potential impact on their household as well as their income generation activities, and as such propose measures that the project should do to avoid or minimize the impact.
- ***Intra-household gender disparities:*** as the gender analysis indicates, women spend more time than men doing housework and care of their children. Some also work to earn extra income. As a result, the relocation process, particularly for those losing shelter, would apparently take them more time and effort as a result of relocation, and affect their ability to earn income for if they work as hired labor, or are directly involved in crop care/cultivation, which eventually increase their burden.
- ***Income/Livelihoods Restoration.*** As some households may change their jobs, i.e.

households who depend on seasonal income – primarily from crops and/or fruit trees. Counseling and training of new job skill to this group should be done with the capacity of men and women in mind to make the training knowledge applicable and the possibility of success with the new job is enhanced.

- ***Safety Assurance.*** As women take care of children, they need to be notified/warned of potential risks are inherent during the relocation of their houses. In many cases where both men and women are directly involved in the relocation/house building/new business operation, they need to arrange a safe, alternative person to take care of their children.
- On the basis of more gender based consultations, as mentioned above, the methods of compensation payment, particularly the coordination between PMU, DBCLA, and severely affected households, will be worked out carefully to ensure difficulties and challenging of severely affected women are avoided, or minimized.

**Gender Monitoring.** During monitoring on RAP implementation, the key indicators (underlined below) of gender should be monitored and reflected in internal and external monitoring reports.

- *Consultation participation:*

Ensure women are invited to participate in public consultations and group discussions during the RAP updating and implementing process. At least 20% of participants in consultation meeting are women.

- *Compensation disbursement.*

Ensure that the process of compensation disbursement is transparent and that compensation is in the name of both spouses. Presence of both husband and wife at the compensation payment session should be encouraged.

DBCLA must ensure that the affected persons are guided carefully on how the compensation would be made – in cash or through bank transfer so that affected households have sufficient time to prepare themselves and a safe reception of the compensation money.

- *Livelihoods Restoration*

Assess women's requirements for skills training to facilitate income restoration. 100% of severely affected households who confirm their need for job counseling/training/job introduction will be invited to consultation session(s) with participation from women representing these households.

Consider including women among the group to receive any employment opportunities generated through the project. All contractors participating project construction will inform PMU of job opportunities appropriate for women, and PMU will inform the affected households.

Explore opportunities to link women to self-help groups and microfinance programs. PMU and Ward Women's Union will explore opportunities for microfinance – in addition to Program 156 as mentioned under section 5.2.4 (above).

#### 6.4.4 Livelihoods Restoration Program

- **Purpose**

The LRP is fundamental to achieving the objective of the World Bank's OP 4.12 on Involuntary Resettlement. For those who lose their house, or house-based income, or both, they are likely to face the risk of impoverishment. The socioeconomic survey showed that those who lose houses and/or house-based businesses and have to relocate, would face challenging in restoring their income because the new location may not always assure their income restoration. Similarly, for those who lose income from agricultural production – from either crops or animal husbandry, they are likely to face difficulties in buying new land for continue their farming, particularly in the vicinity of their existing house - given the rapid urbanization of the District that leave very little agricultural land in the District. Those who keep dairy cow also face similar challenging that associates with the location for their new house, cow pen, and pastureland.

Given this, a practical LRP, taking into account the needs of affected households and the advice of vocational experts, is important to making sure affected households could receive reliable technical support that could help them build/improve their skills to the new business – either new business type, or same business but in a new location. Because of the complexity in development of skills for income generation, a needs assessment needs to be made to collect further information to make the LRP realistic as well as feasible. The needs of affected households in terms of new business would become clear when affected households figure out how they would want about their future – following the resettlement. As such, this LRP will be updated in the RAP in the next few months once the households decide where they will relocate.

- **Eligibility**

Since the LRP aims to help PAPs improve, or at least restore, their livelihood (which include their income), the following households are eligible to participate in program:

- Households who lose 20% or more of their agricultural land;
- Poor/vulnerable households who lose 10% or more of the agricultural land;
- Households who lose income from their current business– regardless status of registration and own or rent house-based business;

- Household who will physically relocate;
- Household who lose income from the leased land.
- Households who experience cumulative impact – as mentioned in section 2.1.9 (above).

Each of eligible household could send two representatives (ideally one male and one female) to the registered training program. Household representative should be within working-age and are committed to attending the entire training program. All costs for training courses will be covered by the project.

- **Key developmental activities of the LRP**

- **Agricultural extension.** For those who are active in farming and wish to continue farming activities, agricultural trainings will be provided – based on their specific needs.
- **Business Development.** For those who run home-based business, they will be trained on business development skills, and will be able to join in a vocational training of their choice.
- **Credit loan.** For those who wish to borrow loan to develop their new business, their credit access will be facilitated by DBCLA/PMU – through Fund 156.

- **Update of LRP**

The LRP will be updated on the basis of consultation with affected households (needs assessment) after they have fully received their compensation package and decided on resettlement options. This will assure consultation with PAPs on their future business plan is meaningful and PAPs are more likely to peruse trainings that they request. The needs assessment need to take into account both men and women's concerns (gender based).

Where possible and effective, this Livelihood Restoration Programs could be mainstreamed into on-going District's development program. Once updated, the LRP will contain the following elements:

- List of specific activities and corresponding costs;
- Responsibilities of stakeholders for each of activities;
- Specific methods and training program for each training activities;
- Implementation schedule;
- Monitoring and evaluation

- **Budget**

The costs incurred with implementation of the entire LRP – based on needs assessment, will be covered by the Project Owner. Affected households will not pay for any costs associated with their training. They will be provided with an allowance covering their costs of travel and meals and accommodation for the actual days that attend the training.

- **Monitoring**

The implementation of the LRP is subject to monitoring and evaluation of Project Owner (internal monitoring), and the external monitoring which will be done by PMU's external monitoring consultant.

### 6.4.5 Implementation Schedule

The following schedule is set to ensure the land acquisition plan is implemented in coordination with the construction plan.

Activities	Oct-16	Nov-16	Dec-16	Jan-17	Feb-17	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18
1 Notice of Land Acquisition (16 Aug 2016)																					
2 Conduct Detailed Measurement Survey	X	X	X	X																	
3 Conduct Replacement Costs Survey			X	X																	
4 Finalize Draft Compensation Plan				X	X																
5 Update draft RAP to reflect DBCLA compensation plan					Y	Y															
6 Submit Updated RAP to WB for No Objection						Y															
7 Disclose Draft Compensation Plan						X															
8 Engage External Monitoring Consultant						Y															
9 Finalize Compensation Plan				X																	
10 Issue Decision of Land Acquisition						X															
11 Start and Complete compensation payment							X	X	X	X											
12 Start site clearance								X	X	X	X	X	X	X							
13 Land Hand-Over								X	X	X	X	X	X	X	X						
14 Building Resettlement Site								Y	Y	Y	Y	Y	Y	Y	Y	Y					
15 Relocating to Resettlement Site											X	X	X	X	X	X	X				
16 Delivery of LURC																		X	X	X	X
17 Internal monitoring (PMU)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
18 External monitoring (PMU Consultant)							Y	Y	Y	Y	Y	Y	Y	Y						Y	Y

**Legends:**

X: District 12 Board for Compensation and Land Acquisition

Y: Project Management Unit

## VII. GRIEVANCE REDRESS MECHANISM

### 7.1 Requirements of the Grievance Redress Mechanism

The World Bank's OP 4.12 on Involuntary Resettlement requires any RAPs that are prepared for Bank financed projects need to establish a grievance redress mechanism to address grievance and complaints that may arise from affected households during RAP implementation.

A mechanism will be put in place to ensure all concerns and complaints of PAP are recorded/registered appropriately, and addressed in a manner that is fair, timely, and constructive. PAP will be informed of the grievance management procedure, as well as their rights to take their grievances to the agencies responsible for handling their complaints as well as informational queries. PAP will also be informed that their use of this grievance mechanism will be free of charge, even when their cases are elevated to the Courts of Law. All costs related to handling and solving of the complaints are covered by PMU, and are included in the budget for RAP implementation.

### 7.2 Grievance Redress Procedure

The following steps can be taken by the complainants. However, the complainants maintain the right to resort to the courts at any time.

#### ***First Stage – Tan Chanh Hiep Ward People's Committee (WPC):***

PAP may submit their complaint – either in written or verbal, to the One Door Unit of the Ward People's Committee. A member of the One Door Unit will receive the complaints and will notify the WPC leaders of the complaint. The Chairman of the WPC will meet the complainant in person and will solve it within 15 days following the receipt of the complaint.

#### ***Second Stage - District 12 People's Committee (DPC):***

After 15 days since the submission of the complaints, if the aggrieved person does not have any response from the One Door Unit of the WPC, or if the aggrieved person is not satisfied with the decision taken on his/her complaint, the PAP may take the case, either in written or verbal, to the Reception Unit of District 12 People's Committee. The District People's Committee will have 30 days since the date of receipt of the complaint to resolve the case. The District 12 People's Committee will register all the complaints submitted and will inform the District 12 Board for Compensation and Land Acquisition of the District 12 PC's resolution/assessment results. Aggrieved person may elevate the case to the Courts of Law if they wish.

#### ***Third Stage - Ho Chi Minh City People's Committee (HCMC PC):***

After 30 days, if the aggrieved PAP does not hear from the District PC, or if the PAP is not satisfied with the decision taken on his/her complaint, the PAP may escalate the case, either in



writing or verbal, HCMC People's Committee, or lodge an administrative case with the District People's Court for resolution. The HCMC PC will have 45 days to resolve the complaint to the satisfaction of all the concerned. The HCMCPC secretariat is also responsible for registering all complaints that are submitted. Aggrieved person may elevate the case to the Courts of Law if they wish.

### ***Final Stage - Courts of Law:***

After 45 days following the submission of the complaint at HCMC PC, if the aggrieved PAP does not hear from the HCMC PC, or if PAP is not satisfied with the decision taken on his/her complaint, PAP may take the case to a Courts 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 3 days, the decision/result on resolution must be made available at ward level and after 7 days at the district level.

## **7.3 Grievance Management & Monitoring**

- **Grievance Management**

### **District PC and Ward PC**

District 12 People's Committee, Tan Chanh Hiep Ward People's Committee will maintain a logbook for recording queries, suggestions and grievances of PAP. All complaints will be assessed and resolved in accordance with the a fair, timely and constructive manner -

### **PMU**

A focal point who is responsible for administering grievance mechanism on behalf of PMU will be appointed by PMU. This staff will act as a liaison officer (with DBCLA and WPC) and will perform the following key tasks:

- Work closely with DBCLA and WPC to respond to any informational queries from PAP;
- Keep track of overall grievance management process on behalf of PMU.
- Maintain a grievance log with basic information, including a) **Receipts** (name of complainant, complainant's story and expectation; date the grievance was received and recorded, b) **Tracking** (progress – pending/solved, agreements and commitments made), and **Closeout** (resolution outcome).

- **Monitoring:**

An External Monitoring Consultant (EMC) will be engaged by PMU to evaluate the

effectiveness of the grievances mechanism. The monitoring will identify common or recurrent claims that may require structural solutions or adjustment to compensation policy. The EMC may recommend measures to be taken to redress unresolved grievances. During the monitoring of grievance redress procedures, EMC may cooperate with the Vietnam Fatherland Front, if needed.

## VIII. MONITORING AND EVALUATION ARRANGEMENT

### 8.1 Objective of monitoring

To ensure activities and commitments described in the approved RAP is implemented fully and timely, monitoring and evaluation of the RAP implementation should be maintained by the Project Owner. While monitoring of the RAP implementation aims to collect, on a regular basis, information reflecting the RAP implementation results (See Appendix 4 for suggestive indicators) the evaluation of RAP implementation aims to analyze the information collected throughout monitoring process, to evaluate - at outcome level, to extent to which the RAP is executed in accordance with the agreed schedule and methods, and that the RAP implementation meets the objective of the World Bank's Operational Policy 4.12 on Involuntary Resettlement. In case where gaps (between resettlement action plan and actual implementation) are identified during the implementation process, corrective measures will be proposed and implemented timely by PMU.

### 8.2 Internal Monitoring

#### 8.2.1 Requirements for internal monitoring

PMU is responsible to conduct internal monitoring on resettlement implementation. PMU will assign a specialized PMU staff to conduct internal monitoring with key assignments as below:

- Coordinate with related agencies in process of RAP implementation;
- Collect necessary data – as required by the RPF and RAP, to set up a database of resettlement for RAP implementation progress reports for internal monitoring purpose;
- Identify any pending issues/non-compliance issues during RAP implementation;
- Work closely with the Independent Monitoring Consultant to oversee the implementation of RAP;
- Receive and report complaint of affected people to competent authorities for resolving

The internal monitoring on RAP implementation should be conducted monthly and reported quarterly to ensure any issues that may arise so as to take timely and appropriate action.

### 8.2.1 Key indicators for internal monitoring

The following suggestive criteria could be used for internal monitoring by PMU:

- Number of affected persons according to types of impacts;
- Status of compensation payment, resettlement, and income restoration;
- List of outstanding complaints;
- Final results on solving complaints and any outstanding issues that demand management agencies at all levels to solve;
- Issues that arise during the implementation process;

Monitoring done by PMU could be coordinated with external monitoring when the external monitoring consultant is engaged and start the service.

## 8.3 External Monitoring

### 8.3.1 Purpose of external monitoring

In addition to internal monitoring, PMU needs to engage an External Monitoring Consultant (EMC) to conduct periodically independent monitoring on implementation of RAP. The EMC will be recruited based on their experience on application of Bank's safeguards policy and on monitoring and evaluation of RAP implementation. The IUH – as Project Owner, will prepare a TOR for this assignment which will be reviewed by the World Bank prior to recruitment. The recruitment will be based on the bidding process in accordance with the relevant procurement law of Vietnam.

The purpose of external monitoring is to monitor the implementation of the approved RAP to ensure the implementation is in compliance with regulations and policies stipulated in the RAP. EMC also conduct a final monitoring and evaluation of resettlement implementation when all resettlement activities have been completed for 6 months. Periodical and final reports should include all findings from monitoring and evaluation and corrective action plan (if needed) to submit to EA and the World Bank.

### 8.3.2 Assignments of EMC

As a specialized unit, EMC is expected to monitor and evaluate the results of the RAP implementation with regards to the following three key aspects:

- *Performance* (Process, including compliance),
- *Impact* (Outcome); and
- *Sustainability* (upon Completion of the RAP implementation).

While internal monitoring of RAP implementation process is maintained quarterly, external

monitoring should be conducted twice a year, and an evaluation after six months following the completion of resettlement EMC must prepare a bi-annual report on findings from each monitoring mission, consolidating all the findings from the last internal monitoring reports, and submit to PMU and World Bank. The report requirements will be detailed in the Terms of Reference for EMC.

### 8.3.3 Key indicators of external monitoring

The following suggestive indicators should be used by the EMC:

- Payment of compensation: a) full payment to be made to all affected persons before land acquisition; (b) adequacy of payment to replace affected assets.
- Provision of assistance for PAPs who have to rebuild their houses on their remaining land, or building their houses in new places as arranged by the project, or on newly assigned plots.
- Assistance for recovering livelihood/income sources.
- Community consultation and public dissemination of compensation policy: (a) PAPs should be fully informed and consulted about land acquisition, and relocation activities; (b) community consultation procedures and how to solve these problems; (c) public awareness of the compensation policy and entitlements will be assessed among the PAPs; and (d) assessment of awareness of various options available to PAPs as provided in the RAP.
- Affected persons should be monitored regarding the restoration of productive activities.
- PAPs' satisfaction on compensation, assistance and resettlement will be monitored and recorded. Effectiveness of the complaint mechanism and speed of complaint settlement will also be monitored.

### 8.3.4 Duration of External Monitoring

It is expected that the duration for external monitoring will be started from the month of compensation disbursement until the six months following the completion of all resettlement activities.

## IX. COSTS AND BUDGET

For the purpose of project preparation, a preliminary cost estimate is prepared on the basis of District 12 PC's compensation rates and consultation with local people for similar land and assets in the vicinity of the project area. The following table summarizes the estimated costs for compensation payment of affected assets, including residential and agricultural land, houses, structures, graves, trees and crops, businesses, etc., costs as allowance, support, etc.).

When the detailed measurement survey and replacement cost survey (conducted by independent appraiser) are completed, the results of these two surveys will be applied for calculation of the compensation package for affected households. Once the consultation with affected households on compensation plan is completed, in case adjustment of compensation rates is made, the total cost estimate will be updated to reflect such change.

	Unit	Quantity	Unit price	Amount (VND)
<b>I. Compensation</b>				
<b>A. Land (267,019m<sup>2</sup>)</b>				<b>680,252,500,000</b>
1. Residential land	m <sup>2</sup>	19,399.0	18,400,000	356,941,600,000
2. Agricultural land	m <sup>2</sup>			323,310,900,000
Annual land	m <sup>2</sup>	110,765.0	990,000	109,657,350,000
Perennial land	m <sup>2</sup>	129,487.0	1,650,000	213,653,550,000
3. Public land (road+canal)	m <sup>2</sup>	7,367.7	Not compensated as agreed with government	0
<b>B. Houses and Structures</b>				<b>83,824,729,000</b>
1. Houses	m <sup>2</sup>	13,076		69,415,082,000
2. Structures				14,409,647,000
<b>C. Trees and Crops</b>				<b>1,788,848,712</b>
Trees	trees	2,963		1,644,474,712
Crops	m <sup>2</sup>	27,751.00		144,374,000
<b>D. Allowances</b>				<b>179,319,040,000</b>
Transportation	HH	82	6,000,000	492,000,000
Transportation support for house renters	HH	68	2,000,000	136,000,000
House rental	HH for 6 months	492	5,000,000	2,460,000,000
Livelihood Stabilization	Person/month		500,000	2,523,000,000
Job change support	HH			170,407,370,000
Allowance for vulnerable households	HH	22	3,000,000	66,000,000
Support for affected businesses	HH	38		1,643,790,000
Bonus	HH	263	5,000,000	1,315,000,000
Support for loss of income of business employees	Person/6 months	228	1,210,000	275,880,000

	Unit	Quantity	Unit price	Amount (VND)
<b>SUB-TOTAL (A+B+C+D) (a)</b>				<b>945,185,117,712</b>
<b>Implementation Costs (2% of Sub-Total) (b)</b>				<b>18,903,702,354.24</b>
<b>Contingency (10% of Sub-Total &amp; Implementation Costs) (c)</b>				<b>96,408,882,007</b>
<b>TOTAL (a+b+c)</b>				<b>1,060,497,702,073</b>
<b>II. Livelihoods Restoration Program</b>				<b>368,140,000</b>
<b>III. Independent Monitoring</b>				<b>4,696,807,500</b>
<b>IV. GRAND-TOTAL (I+II+III)</b>				<b>1,065,562,649,572</b>

Budget flow: All the costs (shown in the table above) will be provided by the IUH. The budget will be allocated from and by the University of Industry of Ho Chi Minh City. The budget will be transferred to the District 12 Board for Compensation and Land Acquisition for compensation payment to the affected households.

## APPENDICES



## Appendix 1 – Entitlements Matrix

Type of Impacts	Application	Entitlements	Implementation Arrangements
<b>A. PERMANENT IMPACT</b>			
<b>1.AGRICULTURAL LAND</b>	<p><i>Land users with LURC, or eligible for LURC</i></p> <p>Marginal loss (&lt;20% of land holding or &lt;10% for vulnerable group), the remaining area is still economically viable for use or meets expected personal yield.</p>	<p>- Compensation will be at full replacement costs; and</p> <p>- Support for job training/creation (see item 8)</p>	<p>PAP will be notified at least 90 days prior to land acquisition and receive compensation and allowances at the latest one month before land acquisition.</p> <p>The owner of land will hand over the land within 20 days since full compensation and allowances have been paid.</p>
	<p>Significant loss <math>\geq 20\%</math> or <math>\geq 10\%</math> for vulnerable groups</p>	<p>Compensation will be at full replacement costs.</p> <ul style="list-style-type: none"> <li>• Compensation will be paid in cash at full replacement cost for all the affected area within governmental allocated quota of 3ha. For area exceeding the 3ha-quota, compensation will be made only for the Remaining Land Investment Costs<sup>9</sup>, which is the costs already invested in the land but has not been recovered by the time of land acquisition (Article 129,130 of Land Law 2013). In case where land is owned by inheritance, compensation will be paid at full replacement costs for all the affected area. For cases where land is owned by land transfer, compensation will be made in accordance with Article 8 of Decision No.</li> </ul>	<p>PAP will be notified at least 90 days prior to land acquisition and receive compensation and allowances at the latest one month before land acquisition.</p> <p>The owner of land will hand over the land within 20 days since full compensation and allowances have been paid.</p>

<sup>9</sup> "Remaining Land Investment Costs", as per Land Law 2013, are costs that the land user has invested in land but have not been fully recovered by the time of land acquisition. These includes, for instance, costs of: a) landfill, b) soil fertility improvement, soil erosion prevention (for farming purpose), c) foundation preparation (for business purpose), d) other investment as appropriate to the land use purpose (Article 7, Decision 23/2015/QĐ-UBND of HCMC PC, Article 3, Decree 47/2014/ND-CP).

Type of Impacts	Application	Entitlements	Implementation Arrangements
		<p>23/2015/QD-UBND of HCMC PC.</p> <p><b>For perennial land:</b></p> <ul style="list-style-type: none"> <li>• Compensation will be paid in cash at full replacement cost for the affected area within governmental allocated quota of 10ha. For area exceeding 10ha-quota, compensation will be made only for the Remaining Land Investment Costs (Article 8 of Decision No. 23/2015/QD-UBND of HCMC PC).</li> </ul> <p>ALLOWANCES: Severely affected households will be provided with additional allowances for life stabilization and participating in livelihoods restoration program (see Section 8 on ALLOWANCES below).</p>	
	<i>Land users without formal or customary rights to land</i>	Compensation for land will not be paid but cash assistance will be provided - on the basis of land origin, land use history, reasons for un-eligibility, and the time when the land was put into use.	HCMC PC will make decision

Type of Impacts	Application	Entitlements	Implementation Arrangements
	<i>Leased Right</i>	<ul style="list-style-type: none"> <li>• <b>PAP renting land managed by government</b>  No compensation for the affected land, but for the Remaining Land Investment Cost.  Compensation paid at full replacement cost for affected assets (structures, crops, trees) on rental land if they have been created before the cut-off date.</li> <li>• <b>PAP renting private-owned land for farming purpose:</b> Compensation for land at replacement cost for the land owner; Compensation for a) affected assets (structures, crops, trees) at replacement cost for the renter if the affected assets have been created before the cut-off date; and b) the remaining rental contract value.</li> </ul>	Remaining Land Investment Cost will be calculated on the basis of survey – in line with Article 76 of Land Law 2013.
<b>2.RESIDENTIAL LAND</b>	<i>Land Users with LURC, or eligible for LURC</i>	<p><b><i>Loss of residential land with no houses/structures on it:</i></b> compensation for loss of land will be paid in cash at full replacement cost.</p> <p><b><i>Loss of land with houses built thereon, and the remaining (non-acquired) land is adequate to reorganize</i></b></p> <ul style="list-style-type: none"> <li>• Compensation at full replacement cost for the affected land. Compensation for affected house is as follows:</li> <li>• <i>Partially affected house and remaining part is usable: compensation at full replacement cost for the affected part and actual costs for repairing the remaining part without deduction of salvageable materials.</i></li> <li>• <i>Fully affected house: compensation at full replacement cost for the entirely affected house.</i></li> <li>• <i>In case the remaining land is insufficient to build a new house, the affected household could request converting the agricultural land adjoining with the affected residential land into residential land but not exceed residential land quota – as specified by City’s PC.</i></li> </ul>	<ul style="list-style-type: none"> <li>• PAP will be notified at least 180 days prior to land acquisition.</li> </ul>

Type of Impacts	Application	Entitlements	Implementation Arrangements
		<p><b><i>Loss of land with houses built thereon, and remaining (non-acquired) land is not adequate to rebuild the house (relocated PAP):</i></b></p> <p>Compensation for loss of land and houses will be paid at full replacement cost. Affected households are entitled to allocation of a plot of land in project's resettlement site.</p> <p>In case compensation value for the affected residential land is less than the cost of a minimum land plot in the designated resettlement site, relocated households will be provided with a cash support equal to the difference to enable them to have the land plot in the resettlement site. If AHs prefer self-relocating to other place, an amount of cash support, equal to the difference between the cost of the minimum land plot in the designated resettlement area and total compensation amount for the affected residential land, will be provided to the relocating households.</p> <p>[Article 86 of Land Law 2013, Article 27 of Decree 47/2014/ND-CP].</p> <p>PAP will be provided for cash resettlement assistance (see item 8) and compensation for house/structure if created before the project cut-off date (see item 3).</p>	<ul style="list-style-type: none"> <li>• Resettlement land/house will be arranged in line with Article 86 and Article 87 of the Land Law, Decree No. 47/2014/ ND-CP, and Article 20, 22 of Decree No. 43/2014.</li> <li>• Relocated households who have no other residential land or house within project ward/commune are entitled to buying a plot of land/an apartment and pay by instalment, or rent it for living.</li> <li>• AHs are paid compensation and allowance at the latest one month before land acquisition.</li> </ul>
	<i>No formal right to affected land</i>	<p><b><i>Loss of land with houses built thereon, and the remaining (non-acquired) land is adequate to reorganize:</i></b></p> <ul style="list-style-type: none"> <li>- Compensation for affected land if used before 1 July 2004.</li> <li>- Compensation for partly or entirely affected house/structure (see Item 3).</li> </ul>	
		<p><b><i>Loss of land with houses built thereon, and remaining (non-acquired) land is not adequate to rebuild the house (relocated PAP):</i></b></p> <p>Compensation for land and house is as follows:</p> <ul style="list-style-type: none"> <li>• If PAP uses non-agricultural land<sup>10</sup> with house on it - prior to</li> </ul>	

<sup>10</sup> Non-agricultural land – as prescribed at Article 10 of Land Law 2013, include land such as public land, river land, industrial land, production land, etc.

Type of Impacts	Application	Entitlements	Implementation Arrangements
		<p>1 July 2004, and the land was obtained by encroachment, PAP will be provided with a new residential land plot - with levy collection, in the project's resettlement site, or are entitled to buying a new resettlement house if they have no place to move by the time of land acquisition <i>Article 7 of Decree 47/2014/ND-CP, Article 80 of Land Law 2013</i>].</p> <ul style="list-style-type: none"> <li>• If PAP is not eligible for LURC (as specified at Article 22 of Decree 43/2014/ND-CP) and is using land with house on it, and their violation with the Land Law has not been settled with preventive action by local authority, PAP will be compensated for house in accordance with City PC's regulations.</li> </ul> <p>In addition to compensation payment, affected households are entitled to a) transportation allowances (see <i>Allowances</i> under Section 5.2.3), b) participating in the Livelihoods Restoration Program (see Section 5.2.4 below for <i>LRP</i>), and conditional bonus (as specified by HCMC PC by the time of compensation payment).</p>	
<b>3.HOUSES/ SECONDARY STRUCTURES/ EQUIPMENT/ PRODUCTION LINE, ETC.</b>		<p><i>For non-movable houses and secondary structures</i>, compensation will be at full replacement costs for affected houses and structures - regardless of the legal status of the affected land, houses, or structures.</p> <p><i>For movable houses and structures</i> such as those that are pre-engineered to allow disassembly and re-installation, compensation will cover all costs of disassembly, transportation, re-installation, and other costs incurred during this entire process, which is equivalent to 30% of total costs of construction of a new, similar building (Article 91 of Land Law 2013, Article 23 of Decree No. 47/2014/NĐ-CP, and Article 28 of Decision No.23/2015/QĐ-UBND of HCMC PC). In case where the 30% compensation rate is not sufficient as full replacement costs, costs evaluation will be done by District PC, or independent price appraisal consultant to assure a full</p>	<p>Replacement costs includes a) market cost of the materials to build a replacement structure with an area and quality similar, or better than those of the affected structure, or to repair a partially affected structure, b) the cost of transporting building materials to the construction site, c) the cost of any labor and contractors' fees, d) the cost of any registration and transfer taxes. Structures shall be evaluated with regards to its value individually.</p>

Type of Impacts	Application	Entitlements	Implementation Arrangements
		<p>replacement cost is paid.</p> <p><i>For equipment and/or production line</i>, affected business who own the equipment or production lines will be compensated for all costs associated with the disassembly, transportation, re-installation of the affected equipment and/or production line. A consulting firm specialized in appraisal for such equipment/production lines will be engaged by the Project Owner to estimate the costs which are subject to review and approval of the HCMC PC. Costs associated to this process will be paid at full replacement cost.</p> <p><i>For small assets requiring specialized installation</i>, including landline phone, water connection, electric connection, cable TV, internet connection, etc., all costs related to uninstallation and re-installation at new house/business premise will be compensated at full replacement costs.</p>	
<b>4. CROPS, TREES, AND AQUACULTURE PRODUCTS.</b>	LURC, eligible and not eligible for LURC	<p>For annual and perennial trees, standing crops, or aquaculture products, compensation in cash will be paid at full replacement cost, irrespective of the legal status of the land, and are in line with Article 90 of the Land Law 2013.</p> <p>Movable crops such as orchard trees will not be compensated but transportation of the trees to new location is supported as specified by District Board for Compensation and Land Acquisition. If replanting of trees in new location incurs costs, such full costs will be compensated for.</p> <p>Aquaculture that reaches harvest time by the time of land acquisition will not be compensated for.</p>	<ul style="list-style-type: none"> <li>• Calculation of compensation for crop is based on the highest productivity of one crop of the last 3 years.</li> <li>• Calculation of compensation for trees is based on age and diameter of the tree.</li> <li>• PAP has the right to use salvageable trees.</li> </ul>
<b>5. BUSINESSES</b>		<p><i>For economic loss resulting from contract termination</i>: For households/individual who rent government- or private-owned land for non-farm business, and the land rental is made on renewable contract basis. By the time when the affected land must be returned to government but the land lease contract is still valid, compensation will be paid – as agreed upon in the land lease contract, if any.</p>	<p>PAPs will be given priority for business relocation at conveniently located place in order to maximize their benefit from business opportunities. At the time of compensation, allowances will be adjusted to account for inflation.</p>

Type of Impacts	Application	Entitlements	Implementation Arrangements
		<p><i>For affected assets, such as houses, structures, equipment, production line, and other small assets, compensation will be paid at replacement costs principle.</i></p> <p><i>For loss of income incurred by business owner, the mechanism for compensation is as follows:</i></p> <ul style="list-style-type: none"> <li>• For registered businesses, compensation will be paid in cash for the loss of net business income, equivalent to 50% of the annual average net income - as declared with the tax agency during the recent three years (This amount is equivalent to 100% of monthly net income for 6 months).</li> <li>• For non-registered businesses, whose operations are recognized by local authority and whose net income for non-registered businesses are affected, compensation will be paid in cash for the income losses for at least three months.</li> <li>• For households who do retailed business. They do not have business license and do not pay tax, including also <i>squatter</i> whose business are located on the right of the way, compensation will be a one-time allowance of 3 million VND per household.</li> </ul> <p><i>For loss of income incurred by business employees:</i></p> <ul style="list-style-type: none"> <li>• Employees who permanently lose their existing job due to acquisition of land on which the business are located will receive an unemployment allowance at the basic wage level for up to 6 months. Cash assistance for vocational training will be provided to the affected employee. HCMC PC will decide on the assistance level for vocational training.</li> <li>• If they lose their income only temporarily during the business transition period, they will be supported with an allowance as specified by District PC.</li> </ul>	
<b>6. GRAVES</b>		Compensation payment for affected graves includes full costs associated with a) land for re-burial, b) excavation, c) relocation, d) reburial, e) construction of new tombs, and f)	The relocation of graves should be done on the basis of full consultation with the affected households to meet

Type of Impacts	Application	Entitlements	Implementation Arrangements
		<p>other reasonable related costs which are necessary to meet local customs and habits.</p> <p>Land for relocation of all affected graves will be provided at a graveyard designated by the District PC. In District graveyard is not available, compensation payment will cover costs for buying land for reburial.</p> <p>In case owner of the affected graves could not be identified, public announcement have to be made (on TV, popular newspaper) for a number of times to look for the grave owners. Within a reasonable time, if grave owners could not show up, the relocation of graves should be done by a specialized unit in consultation with the District Department of Health. The geographical location and status of the graves (with photos taken in details), the procedure of grave relocation, and the new location of the graves have to be documented carefully for the owner's use at a later time.</p>	<p>customs and habits of affected households.</p> <p>Affected households will be informed of the location of this graveyard so that they can decide where to relocate the affected graves (to the designated graveyard, or to somewhere else in accordance with their customs and habits).</p>
<b>7. PUBLIC STRUCTURES/ COMMUNITY ASSETS</b>		Where public structures such as schools, health centers, libraries or other cultural centers, recreational parks, public roads, water transmission pipelines, and electricity transmission lines are affected, such affected works will be restored/repared to ensure normal operation at no cost to the local community.	
<b>8. ALLOWANCES</b>	<b>Affected residential land/houses and relocation</b>	<ul style="list-style-type: none"> <li>• <b>Transportation Allowance:</b></li> <li>• For households who need to resettle in a new residential area, an amount of 6,000,000 VND will be provided if they physically relocate within the area of HCMC. If relocating outside of HCMC, the transport allowance will be 10,000,000VND [<i>Decision No.23/2015/QĐ-UBND of HCMC PC</i>].</li> </ul> <p><b>House Renting Allowance/ Temporary Accommodation:</b> House renting allowance or temporary accommodation will be provided to relocating households, and re-organizing households (where required) for the actual time during which they have no other accommodation due to having to hand the affected land over (as required by the project) while having not completed yet</p>	Relocation plan needs to be discussed clearly with affected households to minimize the time duration for temporary accommodation as this may affect the income generation activities/ livelihoods of the affected households.



Type of Impacts	Application	Entitlements	Implementation Arrangements
		construction of the new house. An actual amount will be provided to each relocating household for a period of 6 months. For re-organizing households, this amount will be provided for three-month period. <b><i>Subsistence allowance:</i></b> equivalent to the market value of 30 kg of rice/person/month for 3 months if PAP have to rebuild house on their remaining land and for 6 months if PAP have to relocate to new site.	
	<b>Severely affected agricultural land</b>	<p><b><i>Allowance for Livelihood Stabilization (during transition period):</i></b></p> <ul style="list-style-type: none"> <li>i. PAPs losing 20% - 70% of their agricultural landholding (or 10% - 70% for the poor, near-poor, and vulnerable groups) will be provided with an allowance of 500.000VND/person/month for 6 months if they do not have to relocate, and for 12 months in the case of relocation. In some special cases, allowance may be provided up to 24 months;</li> <li>ii. PAPs losing more than 70% of their agricultural landholding will be assisted at the above rate for a period of 12 months if they do not relocate, and 24 months in the case of relocation. In some special cases, the allowance may be provided up to a maximum of 36 months;</li> <li>iii. PAPs affected by less than 20% of the land and their remaining land is not economically viable will receive the allowance for 12 months.</li> </ul> <p>HHs with no recognized land use right will receive allowance equal to 60 % of the above rate provided for the legal, legalizable land users of agricultural land.</p>	
	<b>Allowance of job training/creation</b>	<ul style="list-style-type: none"> <li>• <b>Affected households directly engaged in agricultural production:</b> supported on job training/job change and job creation with an amount of cash not exceeding 5 times the compensation value of affected agricultural land [Article 20 of Decree No. 47/2014/NĐ-CP]. Those</li> </ul>	PMU of IUH will conduct a training needs assessment for all severely affected households to develop a training plan. Budget for job training will be provided by IUH. Loans for new job will be considered by District

Type of Impacts	Application	Entitlements	Implementation Arrangements
		<p>at work age wishing to be trained for a particular job will be admitted to local training school and supported to find a new job and borrow loan for the new job.</p> <ul style="list-style-type: none"> <li>• <b>Affected households running business at their residential land with the main income derived from this business:</b> Those at working age wishing to be trained for a job will be admitted to local training school and supported to find a new job and borrow loan for the new job.</li> </ul> <p>Free job consultation/ orientation are offered at local Job Service Center.</p>	PC and District Department of Labor, Invalids and Social Affairs, and will be provided under a suitable loan program of HCMPC - as recommended by District PC.
	<b>Vulnerable Households</b>	<p>Female headed households with dependents and economic difficulties, households with disabled persons, elderly without any source of support, households from ethnic minority groups will be provided with an amount of not less than VND 3 million per household.</p> <p>Relocating households with heroic mothers, heroic armed force personnel, labor hero, war veterans, wounded or dead soldiers, will be provided with support.</p> <p>Households with poor household certificate, or categorized as near-poor will be supported in cash with an amount from 3 to 5 million VND/ household.</p>	
	<b>Incentive Bonus</b>	All affected households who hand the affected land over to local authority at the date specified after receiving compensation payment and allowances will be given an incentive bonus. Bonus rate will be determined at the time of compensation payment.	

Type of Impacts	Application	Entitlements	Implementation Arrangements
<b>9.LIVELIHOODS RESTORATION PROGRAM</b>		All households who are severely affected and who are vulnerable – as defined from Section 4.2 will be eligible to participate in the Livelihood Restoration Program (LRP), which include trainings on agricultural extension, new job training, credit access and other measures as recommended and appropriate to support the livelihoods restoration of affected households to ensure their livelihood is restored to the pre-project level, or even improve. The LRP will be developed in consultation with affected households after the Resettlement Action Plan (as approved by HCMC PC and the World Bank) are disclosed fully to the affected households to ensure the consultation on measures to restore livelihoods for severely affected households meaningful and realistic. Costs related to implementing LRP will be borne by the Project Owner.	Livelihood Restoration Programs will be designed on the basis of assessment of the needs of affected households. LRP will be mainstreamed into on-going local development program that support affected/poor households who relocate as a result of development project.
<b>B. TEMPORARY IMPACTS</b>			
<b>10.TEMPORARY IMPACT ON LAND/ LOCAL BUSINESS</b>		<ul style="list-style-type: none"> <li>Temporarily affected land, including assets associated with affected land, will be compensated for - as agreed with the land owner. Upon return of affected land to local people, the affected land must be restored to its original condition – as agreed with the affected households.</li> <li>In case the construction affect temporarily the business activities of local households outside the project area, resulting in loss of income that derive from such business, loss of income should be compensated for the entire period of impact – as agreed with the affected households.</li> </ul>	Contractors will be informed of this RPF and should explore alternative construction method to avoid temporary impact. If avoidance is not possible, contractors will compensate for the above temporary impact in accordance with this RPF. Temporary impact is subject to both internal and external monitoring).
<b>11.DAMAGES CAUSED BY CONTRACTORS</b>		Damaged property will be restored to its former condition by contractors, immediately upon completion of civil works.	Contractors will be required to take extreme care to avoid damaging property during construction. Where damages occur, contractor will be required to repair damages or pay compensation to the affected families, groups, communities, or government agencies at the same compensation rates as specified under this RPF.
<b>C. UNPREDICABLE IMPACTS DURING IMPLEMENTATION</b>			

Type of Impacts	Application	Entitlements	Implementation Arrangements
		Any other impacts identified during project implementation will be compensated in accordance with the compensation principles set for in this RPF and in line with the World Bank's OP 4.12.	

## Appendix 2 –Consultation Summary (from socioeconomic survey)

(28 September till 20 October 2016)

From the structured consultation (socioeconomic survey), the feedback from representative of affected households, in general, as follows:

In terms of the level of project implementation support, 65% of respondent (103 HHs) said they supported the project. 31% (20 HHs) said they support the project provided they the compensation and support are adequate. The remaining 15% (24 HHs) don't know by the time of the survey (which will be followed) during consultation in the future.

In terms of impact on Income, 35% of respondent (47 HHs) indicated that their key income source would be affected as a result of the land acquisition. The remaining 65% (88 HHs) said their key income sources would not be affected since they are not using their agricultural for income generation (they have paid job and other non-land based businesses).

With regards to preferred mode of compensation, 39% of respondent having residential land affected said they preferred land for land whereas 54% prefers compensation in cash. For affected residential land, 42% preferred land for land while 37% prefers cash compensation. Only 9% preferred relocation to the project's resettlement site, suggesting that people have not known clearly the resettlement site (location, technical specification, economic opportunities). These questions were also raised in public meetings and focus group discussion.

Regarding planned use of compensation money, 32% of respondent plan to use their compensation to build new houses. 8% repair their houses. 20% will buy new land, and 14% will use the compensation to invest in their businesses. A small fraction (5%) plan to use compensation money to pay their debt.

### Appendix 3 – Suggestive Indicators for RAP Monitoring and Evaluation

<i>Hierarchy of resettlement activities</i>	<i>Resettlement process</i>	<i>Indicators</i>	<i>Means of verification</i>	<i>Monitoring Frequency</i>
INPUT	Budget commitment and availability  Appointment of social specialist on PMU  Training of PMU's social specialist	<ul style="list-style-type: none"> <li>• Timely availability of budget for compensation payment</li> <li>• Is appointment made after project appraisal completes.</li> <li>• Timely availability of budget for compensation payment</li> </ul>	IM, EM	
ACTIVITIES/PROCESS	Additional consultation with PAP	<ul style="list-style-type: none"> <li>• Is additional consultation with PAP carried out during RAP updating exercise?</li> <li>• To which extent the consultation is conducted, covering the following key areas:               <ul style="list-style-type: none"> <li>○ Proposed replacement costs for affected assets;</li> <li>○ Proposed financial support for affected assets;</li> <li>○ Proposed livelihood restoration activities are consulted with affected households</li> </ul> </li> </ul>	IM, EM	
	Disclosure of final updated RAP	<ul style="list-style-type: none"> <li>• Is <u>updated RAP</u> disclosed locally in at project site and on Bank's website following Bank's</li> </ul>	IM, EM	<ul style="list-style-type: none"> <li>• Following appraisal</li> </ul>

<i>Hierarchy of resettlement activities</i>	<i>Resettlement process</i>	<i>Indicators</i>	<i>Means of verification</i>	<i>Monitoring Frequency</i>
		No Objection and HCMC PC approval; <ul style="list-style-type: none"> <li>Is Project Information Booklet (PIB) delivered to affected households following</li> </ul>		completion; <ul style="list-style-type: none"> <li></li> </ul>
OUTPUT	Compensation payment	<ul style="list-style-type: none"> <li>% of households receiving full compensation package within agreed timeline?</li> <li>Total compensation and support made vs total amount committed.</li> </ul>	IM, EM	<ul style="list-style-type: none"> <li>Monthly</li> <li>Quarterly</li> </ul>
	<u>Grievances</u>	<ul style="list-style-type: none"> <li>Number of grievances lodged (as monitored by PMU) per month</li> <li>Number of grievances solved per month</li> <li>Number of grievances submitted at PMU/Ward level?</li> <li>Number of grievances submitted at District level?</li> </ul>	IM, EM	<ul style="list-style-type: none"> <li>Monthly</li> <li>Quarterly</li> </ul>
	Resettlement	<ul style="list-style-type: none"> <li>Is resettlement sites ready for physical relocation as per approved updated RAP?</li> </ul>	IM, EM	<ul style="list-style-type: none"> <li>Monthly</li> <li>Quarterly</li> </ul>
	Livelihood Restoration	<ul style="list-style-type: none"> <li>Is Livelihood Restoration carried out in accordance with the approved updated RAP – in terms of timeline and number of activities?</li> </ul>	IM, EM	<ul style="list-style-type: none"> <li>Monthly</li> <li>Quarterly (following completion of compensation</li> </ul>

<i><b>Hierarchy of resettlement activities</b></i>	<i><b>Resettlement process</b></i>	<i><b>Indicators</b></i>	<i><b>Means of verification</b></i>	<i><b>Monitoring Frequency</b></i>
				payment)
OUTCOME	Livelihood Restoration Program	<ul style="list-style-type: none"> <li>• Does Livelihood Restoration achieve the planned objective as indicated in the approved updated RAP?</li> <li>• % of households participating Livelihood Restoration Program confirm their full Livelihood Restoration (to pre-project level) after six months</li> </ul>	IM, EM	<ul style="list-style-type: none"> <li>• Monthly</li> <li>• Quarterly (monitoring started six months upon full completion of a) physical resettlement and b) re-establishment of new businesses in the new location.</li> </ul>
	Sustainability of Livelihood Restoration Program	<ul style="list-style-type: none"> <li>• Confirm if the Livelihood Restoration Program works, indicative of it's a) outcome and b) its sustainability.</li> </ul>	IM, EM	<ul style="list-style-type: none"> <li>• Monthly</li> <li>• Quarterly</li> </ul>



## Appendix 4 – Project Location Map



## Appendix 5 – Map of Construction Area that uses WB financing



## Appendix 6 – Socioeconomic Household Questionnaire

(This survey has two Parts. Part 1 is socioeconomic survey and Part 2 collects information on loss of assets and the affected households' perception of impact and their plan)

### PART 1 – SOCIOECONOMIC SURVEY

Household code .....Date of survey: \_\_ / \_\_ / 2016

Address of Respondent:

.....

#### 1. RESPONDENT'S INFORMATION

1	Full name		
2	Gender	1-Male 2- Female	Age:
3	Ethnicity		

#### 2. GENERAL INFORMATION ON HOUSEHOLDS

4	Full name of head of household		
5	Total of household members	Male:	Female:
6	Total number of family members (persons) having stable jobs		
7	Total number of family member who has working capacity but have no job at the moment.		
8	Vulnerable group	1. Women-headed (single parent) with dependents and economic difficulties	4. Have family member with disability
		2. Poor households	Ethnic minority (specify)...
		3. Households categorized as <i>social policy</i> HH	


### 3. INFORMATION OF FAMILY MEMBERS

<b>No</b>	<b><u>Full name</u></b>	<b><u>Gender</u></b> 1= Male 2=Female	Age	<b><u>Relationship to household head</u></b> 1=Husband/Wife 2=Father/Mother 3=Son/Daughter 4=Son-in-law /seal 5=Nephew/Niece 6=Brothers/Sisters 7=Others	<b><u>Ethnicity</u></b>	<b><u>Main occupation</u></b> 1. Governmental staff 2. Police / army. 3. Business Owner 4. Craftsmen 5. Workers 6. Farmers 7. Trading / Services / agro-forestry product processing. 8. Retired 9. Hired worker 10. Homemaker 11. Others (specify): .....	<b><u>Educational attainment</u></b> 0= Illiterate 1=primary school 2=secondary school 3=High school 4=Training College 5=University/postgraduate 6=Others (specify)	<b><u>Monthly Income</u></b>	<b><u>Income to be Affected</u></b>  1=No 2=Partial 3.Totally	<b><u>Notes</u></b>
1										
2										
3										
4										
5										

6										
---	--	--	--	--	--	--	--	--	--	--

#### 4. INCOME AND EXPENDITURE FAMILY

##### 4.1. Source of Income

Average annual Income of households: ..... VND

The main source of income contributed to the annual income of the household:

Horticulture/Cultivation	Amount_____ VND
Animal husbandry	Amount_____ VND
Trading/business	Amount_____ VND
Paid jobs	Amount_____ VND
Financial support (from family/relatives)	Amount_____ VND
From other sources (i.e remittances, ...)	Amount_____ VND

##### 4.2. Expenditure

Average monthly expenditure of households

Foods	Amount_____ VND
Health Care	Amount_____ VND
Education	Amount_____ VND
Travelling	Amount_____ VND
Other expenses (specify) .....	Amount_____ VND

##### 4.3. Loans of households:

Source of Loans	Loan amount	Purpose of Loan 1 = Agricultural Production 2 = Business 3 = Family expenditure 4 = House building/repair 5 = Others (please specify)
1) From bank		
2) Relatives/Friends		
3) High-interest lender		
4) Local mass organization		

5) Others (please specify)		
----------------------------	--	--

#### 4.4. Assessment of family income

How do you assess your income?

1. ☐ Stable                                      2. ☐ Not stable

Comparing with neighbors, how do you classify your family economical standard?

1 ☐. Poor                                      2 ☐. Average                                      3 ☐. Better-off                                      4 ☐. Rich

#### 4.5. Have your family's economic standards changed over the past three years

No change      [   ]      Reason: \_\_\_\_\_

Better            [   ]      Reason: \_\_\_\_\_

Worsen           [   ]      Reason: \_\_\_\_\_

#### 5. ASSETS OF HOUSEHOLDS

Type	Quantity	Type	Quantity	Type	Quantity
1 – High-quality furniture		7- Electric fan		13- Refrigerator	
2 - Motorcycle		8- FM Radio		14- Air conditioner	
3 - Car		9- TV		15. Washing machine	
4 - Truck		10- CD/DVD player		16- Computer	
5 - Electricity generator		11- Landline telephone		17- Cable Internet access	
5 - Water pump		12 - Mobile phone		18- Other	

#### 6. LIVING CONDITIONS OF HOUSEHOLD

1	Source of water for drinking/ cooking:.....	1. Government water system 2. Drilled wells 3. Dug wells
2	Source of bathing/laundry:.....	4. Buy from service provider 5. Others
3	Latrine: .....	1- Flush latrine 2- Two-compartment latrine 3- Public latrine 4- Latrine outside the house 5- No latrine
4	Energy source for lighting:.....	1- National grid      6- Firewood 2 - Generator      7- Coal 3 - Batteries      8- Gas 4 - Biogas      9- No 5 - Oil      10 – Others (please specify)
5	Energy source for cooking:	

## 7. DRAINAGE AND FLOODING

### 7.1. Drainage of household wastewater (multiple choices possible):

- 1 ☐ To designed sluice gate      4 ☐ Others (please specify):
- 2 ☐ To natural land      5 ☐ Don't know
- 3 ☐ To lake/pond/channel/canal

### 7.2. Quality of community drainage system

- 1 ☐ Drain well all the time      4 ☐ Does not drain well even with no rain.
- 2 ☐ Does not drain well when heavy rain      5 ☐ Dont know
- 3 ☐ Does not drain well when small rain

### 7.3. In recent years, have the family experience flooding?

1. ☐ Yes      2. ☐ No

### 7.4. Reason of flooding



1. ☐ Heavy rainfall
2. ☐ House floor lower than road
3. ☐ Poor communal drainage system
4. ☐ No drainage system.
5. ☐ Others (please specify).....

**7.5. In your opinion, how to solve local flooding problems?**

- 1 ☐ Dredging canals for water to flow fluently
- 2 ☐ Build pumping stations and canals system
- 3 ☐ Other solutions (be specific).....

**8. ENVIRONMENTAL SANITATION**

Garbage collection	1-Yes 2-No
If garbage collection service is not available, how is your garbage disposed of?	1- Dump into rivers, ponds 2 - Bury 3 - Burn 4 – Dump anywhere 5 – Dump in a specified location 6 – Others (please specify)
Frequency of garbage collecting	1 - Daily 2 - 3 times/week 3 - Once a week 4 - Once a month
Evaluation of waste collection services:	

**9. EDUCATION**

**9.1. Do your children go to school?**

1. Yes. 2. No. If YES, skip to move to Section 10 (Health)

**9.2. Reasons for not attending school:**

- 1 ☐. The school is too far from home.
- 2 ☐. Can't afford school fees
- 3 ☐. Need children to stay home to help family
- 4 ☐. Children don't like to go to school
- 5 ☐. Others (Please specify).....

**10. HEALTH**

**10.1. Do you have health care insurance?**

- 1 ☐. Yes
- 2 ☐. No

**10.2 For the last 3 months, are there any family who are sick?**

- 1 ☐. Yes
- 2 ☐. No

**10.3 If yes, what kind of sickness:**

- 1 ☐. Cold, fever
- 2 ☐. Respiratory infection
- 3 ☐. Food poisoning
- 4 ☐. Dengue fever
- 5 ☐. Injury
- 6 ☐. Others

**10.4 Duration of sickness:**

**10.5. Where do you go for a medical check/ examination?**

- 1 ☐. City hospital
- 2 ☐. Local hospital
- 3 ☐. Ward health center
- 4 ☐. Private clinic
- 5 ☐. Self-prescription
- 6 ☐. Others (please specify)

**10.6. If you don't go for medical check when sick, please state the reasons:**

- 1 ☐. Far from clinic
- 2 ☐. Have no time
- 4 ☐. Poor quality of health care service
- 5 ☐. Sickness is not serious

3 ☐. Cannot afford medical costs

6 ☐. Others (please specify)

## 11. SOCIAL PARTICIPATION

<b>1</b>	Do you or your family members participate in any of the following organization?	1. Production cooperation 2. Farmer's Association 3. Women's Union	4. Youth's Union 5. Others (please specify)_____
<b>2</b>	Does any female member participate in the following organizations?	1. Production cooperation 2. Farmer Union 3. Women Union	4. Youth Union 5. Others (be specific)_____

## 12. GENDER ISSUES

### *12.1. Division of labor – in terms of time duration, in the family*

No.	Tasks	More for Men	More for Women	Both equally
1.	Cooking			
2.	Cleaning/laundry			
3.	Fixing stuffs in the family			
4.	Child care			
5.	Worked for income			
6.	Participate in social activities			

### *12.2. In your opinion, who do men and women contribute to the family income – in terms of percentage of total income*

The percentage of total income contributed by men.....%.

The percentage of total income contributed by women.....%.

***12.3 Participate in community activities***

<b>No.</b>	<b>Activities</b>	<b>Men</b> (% of time participating)	<b>Women</b> (% of time participating)	<b>Both</b>
1.	Join the community meetings			
2.	Join the relative/friends social events			
3.	Others (Please specify).....			

***12.4. In your family, who are the following issues decided between men and women?***

<b>No.</b>	<b>Issues</b>	<b>Men</b>	<b>Women</b>	<b>Both</b>
1.	Shopping			
2.	Education of children			
3.	Changing of jobs			
4.	Borrow a loan from bank			
5.	Build new house			
6.	Earn direct income			
7.	Money keeping			
8.	Titling in family asset			
9.	Others (be specific).....			

## PART 2 - INVENTORY OF LOSS

### 1. INFORMATION ON HOUSEHOLD'S LAND ACQUISITION HISTORY

Have you ever had your land acquired?

1. Yes    2. No

If **No**, skip to Section 2 (below).

If Yes, what type of affected land: 1. Residential. 2 Agricultural.

Total area (m2) that has been acquired: .....

Do the land acquisition result in your family's physical relocation. 1 Yes. 2. No.

### 2. AFFECTED LAND

Type of Land		Area of each type of affected land		Status quo	Legal status
1= Residential land 2=Perrenial land 3=Annual cropland 4=Aquaculture land 5=Other land (please specify)	Total of area land the family own (m <sup>2</sup> )	Total of affected area (m2)	1=Partially affected 2 = Totally affected	1= Owned 2=Rent	1=Have land use right certificate (LURC) 2= No LURC, but eligible for LURC 4= Public land (i.e. right of the way...)
<b>Total</b>					

### 3. AFFECTED HOUSES

Type		Status quo		Affected level	
1. Mansion	Total floor area (m <sup>2</sup> )	1. Built on agricultural land.	1. Living	Total affected floor area (m <sup>2</sup> )	1 = Partially affected; 2 = Fully affected
2. Grade 1			2. Leasing		
3. Grade 2		2. Built on residential land	3. Living combined with leasing		
4. Grade 3		3. Built on rent land			
5. Grade 4		4. Built on public land/ Right of the Way	4. Living combined with business		
6. Temporary house			5. For sole business purpose		
7. Shelter					
8. Others (please describe)					

#### Do your family need to physically relocate?

1. Yes. 2. No.

**Note:** A household can have several affected houses, please complete information for all affected houses.

### 4. AFFECTED BUSINESS (in the project area)

Affected business [ ] (1=Yes; 2= No, If **YES**, ask the following questions)

Mode of business [ ] (1=Company; 2=Store; 3=Home business)

Business registration [ ] (*1= Yes; 2=No*)

Type of business:.....

Number of staff: Regular:..... Temporary:.....

Average monthly business income (after tax): \_\_\_\_\_ VND (ask only households whose business are affected)

## 5. IMPACT ON SECONDARY STRUCTURES/ EQUIPMENTS

List all secondary structures outside the house that are affected.

Structures/equipment	Types of structures (in proportion to secondary structures)	Unit	Amount
1. Kitchen outside the house	1. Temporary 2. Equivalent to Grade 4	m <sup>2</sup>	
2. Pen	1. Temporary 2. Equivalent to Grade 4	m <sup>2</sup>	
3. Electrometer		Meter	
4. Water meter		Meter	
5. Water pipeline		m	
6. Landline phone		Phone	
7. Fence	1. Brick 2. Barbed or wood	m <sup>2</sup>	
8. Gate	1. Brick 2. Iron/steel 3. Wood/bamboos	m <sup>2</sup>	
9. Latrine/bathroom (outside the house)	1. Brick 2. Iron/steel 2. Wood/bamboo	m <sup>2</sup>	



10. Grave (made of earth)		Grave	
11. Grave (made of cement and brick)		Grave	
12. Well	1. Drilled 2. Duged	m	
13. Water tank	Brick/cement Inox Plastic	m <sup>3</sup>	
14. Yard (Cement or tile)		m <sup>2</sup>	
15. Fish pond (volume of digging)		m <sup>3</sup>	
16. Others structures			

## 6. TREES AND CROPS

(Count only affected perennial trees and/or area of affected crop)

Crops or agricultural groups	Specifications	Unit	Quantity	Note
<b>a) Fruits tree</b>	<b>ages</b>	<b>Tree</b>		
<b>b) Crops</b> (rice, maize, potatos, etc.)		<b>m<sup>2</sup></b>		

Others (please specify)				
<b>c) Ornament trees (grown on land)</b>				
<b>d) Aquaculture land</b>		<b>m<sup>2</sup></b>		

## 7. CONSULTATION QUESTIONS

### 7.1. If your agricultural are acquired, what would be your preferred mode of compensation?

Land-for-land (if replacement land is available locally with equivalent farming value) [ ]

Cash [ ]

Not decided yet [ ]

### 7.2. For households having residential land affected and need to physically relocate:

Land for land [ ]

Self-relocating to another family's land [ ]

Compensation in case [ ]

Not yet decided [ ]

Self-relocating [to other family's land already available] [ ]

Self-relocating [to the area to be bought on family own] [ ]

Relocating to project's resettlement site [ ]

### 7.3. How would you plan for use of your compensation money?

Buld new house [ ]

- Repair existing houses [ ]
- Buy new land [ ]
- Buy other assets [ ] Name of assets\_\_\_\_\_
- Pay debt [ ]
- 
- Invest in small business [ ]
- Have savings account [ ]
- Deposit in local bank [ ]
- Give to children [ ]
- For children education [ ]
- Other intensions [ ] Please describe

**7.4. Is your main income affected by the project?**

1. ☐ Yes 2. ☐ No

If Yes, to which extent it will be affected (%). For how many months \_\_\_\_\_.

**7.5. If relocating to project's resettlement site, what difficulties would you anticipate in building your our new house, and restoration of your livelihoods\_\_\_\_\_**

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**7.6 Loan need:**

Loan source	Mark X in responding box	Amount of loan
1) Local bank		
2) Relatives/Friends		

3) High-Interest Lender		
4) Mass/ localorganization		
5) Other sources (please specify)		

**7.7 Do you support the project implementation?**

Yes

[ ]

No

[ ]

Reason for support?

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Reason for not supporting? What are your concerns?

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**Thank you very much for your time and participation in the survey.**

**Phone number:**

*Name of interviewer*

*Name of Respondent*

## Appendix 7 – Photos from Field Trip



Public consultation meeting in Tan Chanh Hiep Ward



A PAP asked for clarification of relocation options



Interview with HH dairy cow for affected income



FGC with affected businesses on Tan C Hiep 10 Street



PAP representative express her relatives' concern



Potentially affected Tran family ancestor

## Appendix 8 – Typical information in a Public Information Booklet (PIB)

To ensure PAP representatives, their family members, and local governments in the affected areas understand the key points of the compensation and resettlement policies, and are well informed about the compensation and rehabilitation packages applicable under the Project, a Public Information Booklet (PIB) will be prepared by the PMU, in consultation with the World Bank. This booklet will be distributed to all PAP in the project area.

General contents of the PIB will include the following:

- Brief Description of the Project,
- Project Impacts,
- Implementation Schedule,
- Compensation principles and policies, and entitlements of PAP;
- Resettlement options and Livelihoods Restoration Program
- Implementation Arrangements;
- Grievance Procedure,
- Monitoring and Evaluation
- What-To-Do when a PAP have informational queries,
- Contact of PMU focal point – responsible for resettlement (including name, address, phone number).