

INTEGRATED SAFEGUARDS DATA SHEET CONCEPT STAGE

Report No.: ISDSC1046

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I. BASIC INFORMATION

A. Basic Project Data

Country:	Vietnam	Project ID:	P152460
Project Name:	Vinh Phuc Flood Risk and Water Management Project (P152460)		
Task Team Leader(s):	Lixin Gu, Quang Vinh Nguyen		
Estimated Appraisal Date:	01-Dec-2015	Estimated Board Date:	29-Mar-2016
Managing Unit:	GWADR	Lending Instrument:	Investment Project Financing
Sector(s):	Flood protection (60%), General water, sanitation and flood protection sector (40%)		
Theme(s):	Water resource management (40%), Natural disaster management (25%), Climate change (25%), City-wide Infrastructure and Service Delivery (10%)		
Financing (In USD Million)			
Total Project Cost:	180.00	Total Bank Financing:	150.00
Financing Gap:	0.00		
Financing Source			Amount
Borrower			30.00
International Bank for Reconstruction and Development			150.00
Total			180.00
Environmental Category:	A - Full Assessment		
Is this a Repeater project?	No		

B. Project Objectives

19. The development objective of the project (PDO) is to strengthen flood management and wastewater management in the central catchment of Vinh Phuc Province.

20. The PDO will be achieved through (i) supporting structural measures for flooding control and river rehabilitation; (ii) improving wastewater collection and treatment in districts, small towns and

rural villages; (iii) establishing water resource and water quality monitoring and flooding and emergency response systems; and (iv) institutional development and training for the government departments and water sector practitioners aiming at managing the river basin and water related sectors in an integrated manner.

C. Project Description

The Project includes 3 components that are interlinked each other:

Component 1 - Flood Risk Management (estimated cost US\$ 110 million)

1. Vinh Phuc is hydraulically divided into three drainage basins: (i) Northwest Basin (Basin A); (ii) Central and South Basin (Basin B); and (iii) Northeast and East Basin (Basin C). Basin B is the central part of the province with most of the economic and administrative activities are located. Basin B drains to the Phan River and from there to the Ca Lo River. Basin C incorporates the hilliest areas where rainfall runoff to Ca Lo River flows downstream to the Cau River about 70km from Vinh Phuc. The confluence of the Phan River with Ca Lo River is in Nam Vien Commune, Phuc Yen Town. The flooding in Vinh Phuc occurs mainly in Basin B, due to rainfall within that catchment, interaction with Catchment C and downstream tidal effects. Basin A is hydraulically independent and does not contribute to the flooding in Basin B and Vinh Yen City.

Component 1 includes support for controlling flooding through structural measures in Basin B (including sub-basins B-1, B-2 and B-3) and Basin C; Flood control will be through construction/rehabilitation of retention lakes to increase regulation capacity, construction of drainage pumping stations and canals to divert storm water from basin B to Pho Day or Red River, dredging of Phan River to augment flow capacity, and construction of flood control gates with associated embankments to prevent storm water entering Basin B from Basin C. The key activities include:

- Sub-basin B1: (i) construction of Kim Xa pumping station with capacity of 45m³/s with outlet sluice gate to Pho Day River; (ii) dredging Nhi Hoang and So retention lakes with area of about 100ha; and (iii) rehabilitation of Yen Lap flood control gate;
- Sub-basin B2: (i) construction of Ngu Kien pumping station with capacity of 45m³/s including outlet sluice gate and 2km of outlet canal to Red River; (ii) dredging Rung retention lake with area of about 150ha; (iii) dredging 3km of canal connecting Rung retention lake and Phan River; and (iv) dredging middle section of Phan River (Thuong Lap – Lac Y) with length of about 28km.
- Sub-basin B3: (i) construction of Nguyet Duc pumping station with capacity of 75m³/s including 7.5km of inlet canal connecting to Sau Vo lake, outlet sluice gate and 2km of outlet canal to Red River, (ii) dredging Sau Vo retention lake with area of about 180ha, and (iii) dredging lower section of Phan River (Lac Y – Cau Sat) with length of about 18km.
- Basin C: (i) construction of 2 flood control gates (Cau Ton and Cau Sat) and related embankment works, and (ii) dredging 3 rivers with total length of about 66km.

Component 2 Water Environmental Management (estimated cost US\$ 23 million)

2. This component includes support to improve wastewater management and collection in districts small towns and number of rural villages along the Phan River. It would include:

- Wastewater management for district small towns: construction of wastewater collection and treatment facilities in a number of towns, each facility is capable to provides service to about 20,000 peoples;
- Wastewater management for rural communities: construction of about 100 small scale wastewater collection and treatment schemes in rural villages that are located along and at less than 3km from the Phan River. Each scheme can serve 1,000-1,500 peoples.

Component 3 Implementation Support (estimated cost US\$10 million), Technical Assistance and Institutional Strengthening (estimated cost US\$7 million)

3. This component includes measures to improve water resource and water quality monitoring and emergency flooding early warning; institutional development to support the integrated management of the river basin and water related sectors in an integrated manner; support to project implementation and other TA activities. It would include:

- Support project implementation: (i) consulting services for sub-project feasibility studies and detailed design; (ii) procurement support; (iii) construction supervision; (iv) safeguards monitoring; (v) audits, (vi) project implementation monitoring and evaluation; (vii) equipment/software for project implementation; and (viii) other consultants as necessary.
- Technical assistance and capacity building: (i) providing water resources and water quality monitoring systems; (ii) providing flood early warning and emergency response system; and (iii) training and capacity building activities for government departments and water sector practitioners in water resource management, pollution control, asset management etc.

D. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

4. Vinh Phuc is a land-locked province located in the north of Hanoi. Vinh Phuc is positioned in three main key development regions of Vietnam: the Red River Delta Region, the Hanoi Metropolitan Region, and the Northern Key Economic Region.

5. The project will be developed in two drainage basins in the center and east of Vinh Phuc Province. Due to its low elevation in the Red River floodplain, two thirds of the province is prone to flooding. There is an especially high risk from flooding in the areas of the Phan River basin where the provincial capital city of Vinh Yen and most of FDI zones are located. Frequent floods have caused serious impacts on agriculture in rural areas, the city of Vinh Yen and the industrial zones and enterprises, including significant loss of agricultural and industrial productivity - impacting on livelihoods - and deterioration of infrastructure in both rural and urban areas.

6. The project includes construction of pumping stations, connecting canals and dredging works in retention lakes like Nhi Hoang, So, Rung, Sau Vo, dredging and civil works in connecting canals and construction in small towns adjacent to waterways. The main civil works are included under component 1 which will mostly be implemented in lakes and existing canals in agricultural areas. In some lakes there are fishing and aquaculture activities. There will be some permanent and temporary land acquisition required and dredging activities may also impact current fishery activities. The area of project impact will be confirmed through hydraulic modelling and therefore complete a detailed assessment of the project area.

7. Accelerated deterioration of water quality has been observed in Phan River catchment, including rivers and lakes around Vinh Yen City. The main water pollution sources are domestic and industrial wastewater; organic pollutants are the main source of pollution, especially high level of biological oxygen demand (BOD) and total suspended solids (SS). Especially along the Phan River, domestic wastewater is discharged without any treatment, even in some areas the garbage from the village is thrown on the banks of the rivers and lakes. Surface water quality no longer meets the national Category A standard (for water supply purpose) and, in the dry season, is well below Category B (for irrigation purpose) in some cases.

E. Borrowers Institutional Capacity for Safeguard Policies

8. The Vinh Phuc PPC is the ultimate local authority responsible for the project. Vinh Phuc PPC has

established an ODA promotion and preparation agency (established by Decision No. 636/QD-UBND dated March 5, 2014) to prepare this project. Furthermore, Vinh Phuc PPC will upgrade this agency to be an ODA Project Management Office (PMO), responsible for project preparation and later for project implementation, including safeguards management. Dedicated staff have been assigned to the PMO in the course of project preparation to coordinate preparation of the Environmental Assessment (EA).

9. In addition, a Project Steering Committee chaired by PPC's chairman with members at director levels from related provincial departments as well chairmen of related city and district peoples committees will be established to oversee and provide necessary support and guidance to PMU during project preparation and implementation.

10. Department of Natural Resources and Environment (DONRE) will coordinate with Department of Construction (DOC) and Department of Planning and Investment (DPI) for all the issues and inputs that have been considered during the design as well as during the implementation. In addition, DONRE will provide guidance to PMO and monitor compliance of project activities with the Government's regulations on environment protection.

11. Despite the experience listed above, the PPC does not have experience in preparing and implementing decentralized projects at a similar size and scope to the proposed Vinh Phuc Flood Risk and Water Management project. In addition, although the provincial departments have experience under donor-funded projects and their staff are capable of designing and implementing investment projects, it needs to be realized that those resources are scattered across the sector units. These identified weaknesses may limit the capacity to prepare and effectively safeguard policies. The Bank team will need to support the Vinh Phuc project preparation team in the elaboration of the TOR's of the EA instruments and providing close guidance for the preparation of safeguard documents (e.g. good quality EIA and RP) as well as implementation of feasible EMP and RPs will be required.

F. Environmental and Social Safeguards Specialists on the Team

Chaohua Zhang (GSURR)

Roxanne Hakim (GSURR)

Silvia Del Pilar Larreamendy Ricardo (GSURR)

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II. SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	OP 4.01 is triggered due to the potential environmental and social impacts associated with the projects investments and activities. Activities to manage flood risk, including dredging and canal rehabilitation will impact the quality of water, soil and air. Disposal of waste from dredging and during construction of the wastewater treatment plant may also impact the environment within the area of influence of the project. Based in the environmental screening and the information available at this stage, the EA category

		<p>proposed for the project is Category A, as there may be significant impacts up and downstream of the area of influence. The assessments being completed during project preparation will determine the area of influence of the project</p> <p>It has been noted that the locations of investment under component 1 have been known while those for waste water collection and treatments facilities/ schemes in town and rural communities under component 2 would be finalized during preparation phase. And feasibility studies (FS) for the proposed investments will be completed before appraisal. In the case all the investment items under components 2 and the relevant FS are finalized during preparation phase, a full project EIA would have been prepared to cover the potential impacts. On the other hand, in any case that the location and FS for any investment items under component 2 would be pending till implementation period, in addition to the project ESIA, an Environmental and Social Framework (ESMF) would be developed to provide guidance and requirements on environmental assessment for investments.</p> <p>A full environmental EA will be conducted, including; an Environmental Impact Assessment (ESIA), an Environmental Management Plan (EMP) as part of the ESIA and an Executive Summary (ES).</p> <p>The EA will contain:</p> <p>Project area: Definition of the direct and indirect area of influence likely to be affected by the project, including lakes, canals, crops field, infrastructure, disposal areas for the dredged materials, worksites and camps for construction workers.</p> <p>Baseline Study: The ESIA will provide a description of the environment of the project area, especially for aquatic habitats or other environmentally sensitive area and social issues, if there are any vulnerable groups or resources of high cultural value.</p> <p>Impact Assessment and Mitigation measures: Based on the results of the impact screening and baseline study, the ESIA will assess the impacts of project investments as well as of the ancillary facilities (e.g. dredged material disposal site). This also comprise due diligence social and environmental for any existing ancillary facilities. The impacts assessment should include generic impacts occurred for</p>
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		<p>proposed interventions as well as site-specific impacts for investments at each sub-basin. The ESIA shall develop mitigation measures to manage these impacts.</p> <p>Cumulative Impacts: Since the project consider the works across two hydraulically connected basins, it will be important to assess cumulative impacts. The ESIA will include a chapter on cumulative impacts in the project area of influence following acceptable methodology (e.g. IFC Good Practice Handbook on CIA).</p> <p>The ESMF will include a Social Management Framework (SMF) will be prepared for the project appraisal. The SMF will cover resettlement and other social issues involved. It will include the RPF, a gender strategy, public health intervention, public consultation and stakeholder engagement plan as well as a communication strategy.</p> <p>ESMP: Including measures to be taken during the implementation (dredging, embankments works, widening canals and land clearing), and operation of the project. The ESMP would also include institutional arrangement, capacity building, monitoring plan, and cost for safeguard implementation.</p> <p>The ESIA will comply with the Bank safeguard policies and the Vietnamese regulations. In addition, the ESIA will apply WBG Environmental, Health, and safety Guidelines. In addition, the EA process will comply with WBG's requirements on public consultation and information disclosure for category A project.</p> <p>A Social Assessment will also be undertaken. The ESMF also include a Social Management Framework (SMF) will be prepared for the project appraisal. The SMF will cover resettlement and other social issues involved. It will include the RPF, a gender strategy, public health intervention, public consultation and stakeholder engagement plan as well as a communication strategy.</p>
Natural Habitats OP/BP 4.04	Yes	The policy is triggered as the project will impact the environment of the Phan and Ca Lo river. The

		project activities such as dredging river and lakes, embankment works, widening canals and land clearing will take place primarily in agricultural areas. However once the area of influence is defined, the EA process will assess any possibility of project impacts on natural habitats or sensitive ecological sites, for which provision of appropriate conservation and mitigation measures would be required.
Forests OP/BP 4.36	No	The project will not involve any forest restoration, plantation development, changes in forest use or management or protection. There are no forest areas that could be affected, hence OP/BP 4.36 is not triggered.
Pest Management OP 4.09	Yes	The project interventions will help to reduce the flood in the project area, which would lead to the increased crop production in linked with the increased use of pesticides as an indirect impact. Pest Management will be addressed through ESIA process with an IPM will be prepared as a part of the project ESMP..
Physical Cultural Resources OP/BP 4.11	Yes	The policies are triggered as the project involves large excavation activities. As such, chance find procedures would be developed as part of the ESMP. In addition, the EA process will assess any possibility of impacts on physical cultural resources (PCR) based on the area of influence, to be defined and site-specific measures would be developed accordingly as part of the ESMP.
Indigenous Peoples OP/BP 4.10	Yes	<p>As part of the ethnic minority screening, Bank's review of secondary data indicated that there are 29 ethnic minority (EM) groups (about 47,000 people) living across Vinh Phuc province. These ethnic minority peoples are likely to be concentrated in the project area, including Tam Dao district, Ngoc Thanh commune of Phu Yen Township, and some communes of Binh Xuyen. A social assessment (SA) will be carried out in the project area to screen the project impacts and confirm the presence of ethnic minority population in the project area and determine whether OP4.10 on Indigenous Peoples is triggered under this project.</p> <p>The project is also expected to have gender and public health impacts. A gender analysis will be done as part of the SA to explore opportunities to promote gender equality, and to ensure the project is gender</p>

		<p>informed, as required by the World Bank procedures.</p> <p>If the SA findings confirm EM peoples (as per OP 4.10 definition) are present in the project area, the SA will be expanded to assess (a) the potential project impact (positive and adverse) on the identified EM groups, (b) to confirm whether there is a broad EM community support for the project implementation and (c) explore how EM peoples can benefit from the project. The project will also prepare an Ethnic Minority Policy Framework (EMPF) to guide preparation of site specific Ethnic Minority Development Plans (EMDP), where necessary. Subprojects scheduled for implementation during the first year of implementation will have EMDP(s) prepared prior to project appraisal.</p>
<p>Involuntary Resettlement OP/ BP 4.12</p>	<p>Yes</p>	<p>The project will undertake construction and engineering works which will require permanent and temporary land acquisition. Local people could be affected by the loss of assets. It is anticipated the impacted area would be mostly agricultural land. Although an estimated 6,500 households are potentially affected, no physical resettlement is anticipated at this stage given the nature and scope of the construction activities. The magnitude of impact due to land acquisition are anticipated to be limited as works will largely be contained in or adjacent to watercourses.</p> <p>A social assessment will be done to examine the overall social impact of the project, including the impact caused by land acquisition/resettlement as well as the impact caused by construction activities – as identified through the environmental impact assessment. Thus, this SA will address the requirements of OP 4.10, OP 4.12, and OP 4.01.</p> <p>As land acquisition is required, (a) a Resettlement Action Plan (RAP) will be prepared for the civil works that will have their detailed engineering design completed before the project appraisal – approximately 30% of the works – and (b) a Resettlement Policy Framework (RPF) will be developed as part of the Social Management Framework to guide the preparation of the RAP for the remaining sub-projects. The RPF will specify the</p>

		steps for the preparation, review, and clearance of subproject RAPs.
Safety of Dams OP/BP 4.37	TBD	The project will not involve any dam construction or rehabilitation or works on related reservoirs. However, it is informed that there is an irrigation dam, namely Lien Son dam in Pho Day river which would be the upstream of Phan river to meet the irrigation demand of Basin B during the dry season. Further information and assessment during preparation is needed to determine if project investment is dependent on the operation of the upstream dam, and mitigate measures would be designed as appropriate.
Projects on International Waterways OP/BP 7.50	Yes	Component 1 includes the construction of pumping stations that will discharge water to the Red River, an international waterway. However there will be no trans-boundary impacts as Vietnam is the downstream riparian and the area of influence of the project is far from the international boundary. Upon the EA results, the team will facilitate discussion with LEGEN and RSS to conclude if the Project is warranted notification exception and if it is, a Memo to RVP justifying such exception would be prepared accordingly before appraisal.
Projects in Disputed Areas OP/BP 7.60	No	The project is located in Vinh Phuc province. Disputed areas will not be involved. The policy is not triggered.

III. SAFEGUARD PREPARATION PLAN

A. Tentative target date for preparing the PAD Stage ISDS: 25-Sep-2015

B. Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing¹ should be specified in the PAD-stage ISDS:

To be determined

IV. APPROVALS

Task Team Leader(s):	Name: Lixin Gu, Quang Vinh Nguyen	
Approved By:		
Regional Safeguards Coordinator:	Name:	Date:
Practice Manager/ Manager:	Name:	Date:

¹ Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) at the InfoShop and (ii) in country, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.