

**SOCIALIST REPUBLIC OF VIETNAM
HO CHI MINH CITY PEOPLE'S COMMITTEE
INVESTMENT MANAGEMENT AUTHORITY (IMA)**

HO CHI MINH CITY ENVIRONMENTAL SANITATION PROJECT - PHASE II

RESETTLEMENT POLICY FRAMEWORK

[Final draft, 18 August, 2014]

Ho Chi Minh City, August, 2014

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**CONSULTANCY
SAIGON WATER, ENVIRONMENT AND
INFRASTRUCTURE JOINT STOCK COMPANY
(SAIGON WEICO)**

Ho Chi Minh City, August, 2014

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GLOSSARY

Census and Inventory If the project needs to change the land use or to acquire land for project purposes, a Census of people that will be affected and an Inventory of affected assets will be undertaken based on the technical design of the project. The Census will include key socioeconomic information of the project affected persons (PAPs), such as main occupations, sources of income, and levels of income in order to be able to determine vulnerable households as well as to establish baseline data for monitoring livelihood restoration of the PAPs. The Inventory will include a detailed description of all affected lands, trees, structures, to be acquired permanently or temporarily in order to complete the Project; the names of the persons entitled to compensation (from the census); and the estimated full replacement costs, etc.

Compensation (in cash or in kind) for loss of assets and rehabilitation measures to restore and improve incomes will be determined in consultation with the PAPs. Compensation for loss of assets will be at replacement costs.

Cut-off-date is the date when project area is was delineated, prior to the census, provided that the delineated project area is effectively and publicly announced by the District 2 People's Committee, and systematically and continuously repeated after that to prevent further population influx. Project affected households and local communities will be informed of the cut-off date for each project, and that anyone moving into the Project Area after that date will not be entitled to compensation and assistance under the Project.

Eligibility is the criteria to receive benefits under the resettlement program. This Resettlement Policy Framework (RPF) will provide general guidance on this but the eligibility criteria will not be definitively confirmed until the RAP development and its actual implementation.

Productive land refers to the various sub-categories of land that are used for agricultural purpose (as opposed to land for residential purpose), including agricultural, forestry, garden, aquaculture and pond land.

Replacement Cost: a method of valuation of assets (including land, shelter, access to services, structures, crops, etc.) that helps determine the amount of compensation sufficient to replace lost assets, 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 the market cost of the materials to build a replacement structure with an area and quality similar to or better than those of the affected structure, or to repair a partially affected structure, plus the cost of transporting building materials to the construction site, plus the cost of any labor and contractors' fees, plus the cost of any

registration and transfer taxes. In determining the replacement cost, depreciation of the asset and the value of salvage materials are not taken into account, nor is the value of benefits to be derived from the project deducted from the valuation of an affected asset.¹

Resettlement: This RPF, in accordance with the World Bank's Operational Policy on Involuntary Resettlement (OP 4.12), covers the involuntary taking of land that results in (i) relocation or loss of shelter, (ii) loss of assets or access to assets; or (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location.

Livelihood (income) restoration Livelihoods restoration refers to that compensation for PAPs who suffers loss of income sources or means of livelihoods to restore their income and living standards to the pre- displacement levels.

Severely affected households: Households who lose 20% or more of their productive land area (10% or more for poor and vulnerable households) are considered as severely affected as a result of the project.

Vulnerable Groups and Individuals at risk: Those who might suffer disproportionately from adverse project impacts and/or be less able to access the project benefits and compensation, including livelihood restoration and assets compensations, when compared to the rest of the PAPs. Vulnerable people include people who, by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage or social status, 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 resettlement assistance and related development benefits. Vulnerable people can be an entire group (like an ethnic minority community), or individual households (HHs).

¹ An independent prices appraiser will be recruited by District 2 authorities (or DONRE) to assess value of affected assets and propose to Ho Chi Minh City People's Committee for application under the Project. .

ABBREVIATIONS

CPC	City People’s Committee
DMS	Detailed Measurement Survey
DPC	District People’s Committee
DRC	District Resettlement Committee
GOV	Government of Vietnam
HOC	House Ownership Certificate
IMA	Investment Management Authority
LURC	Land Use Right Certificate
NGO	Non-Governmental Organizations
PAP	Project Affected Person
PC	People’s Committee
PIM	Project Implementation Manual
CRC	City Resettlement Committee
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
VND	Vietnam Dong

1. INTRODUCTION

1.1 Project overview

In recent years, the environmental sanitation has become a major concern of the Government and the people of Ho Chi Minh City. Along with the development and urbanization of the city and the pressure by an increased population, problems of global climate change are becoming more and more complicated. The city's infrastructure is outdated, and does not meet the development requirements of the City. River and canal systems are often encroached upon, causing a reduced flow and drainage capacity. Urban planning is not always rational while the community's awareness of environmental protection is not high. All these factors, among other things, have caused the environment of Ho Chi Minh City to become ever more heavily polluted, resulting in an adverse impact on the health, as well as living conditions of the people and the sustainable development of Ho Chi Minh City.

The construction of the Interceptor system that collects wastewater under the Ho Chi Minh City Environmental Sanitation Project (HCMCES, NhieuLoc – ThiNghe Basin) was completed by the end of 2012. The project has improved the living environment for the people in the project area. However, although wastewater is collected in the interceptor system, it is not treated yet. The collected wastewater has been temporarily discharged into the Saigon River which still adversely affects the quality of the Saigon river, and its downstream area. Therefore, to improve the situation and thereby following the HCMC Drainage Master plan, the implementation of Ho Chi Minh City Environmental Sanitation Project (Phase 2) – to continue the original HCMCES project, to achieve the ultimate goal of improving environmental sanitation for Ho Chi Minh City, particularly for NhieuLoc – ThiNghe and District 2 basins, is absolutely essential.

The Project in Phase 2, namely HCMCES 2 for short, has the following main objective:

Complete the wastewater interceptor and wastewater treatment system for the whole NhieuLoc –ThiNghe basin and District 2 aiming at improving the health of Ho Chi Minh City population, rehabilitating and preserving the Saigon river and Dong Nai river ecosystems; upgrading the urban landscape and improving HCMC population awareness about environmental protection.

- The project consists of the following activities. Construction of an wastewater interceptor system to collect and transport wastewater from Saigon river East bank shaft to NhieuLoc – ThiNghe wastewater treatment plant (WWTP).
- Construction of NhieuLoc – ThiNghe wastewater treatment plant with the capacity of 480,000m³/day in Thach My Loi ward, District 2.
- Construction secondary and tertiary sewer systems in District 2 to collect wastewater from households and residential areas and connect through the interceptor system with NhieuLoc – ThiNghe wastewater treatment plant.
- Capacity building in environmental sanitation management and project implementation.

The project has the following objectives:

Long-term objectives

Long-term objectives of the project are to improve health and living standards of the people of Ho Chi Minh City, restoration and conservation of the Saigon River ecology and of the downstream Dong Nai River basin; upgrading and refurbishment of the environment, improving the image of Ho Chi Minh City with regard to its environment and public awareness. Additional long-term goals are the promotion and development of tourism, production and economy of the city in particular and the country in general.

Moreover, as this will be one of the first major projects in HCM City to be implemented by the Steering Center of Urban Flood Control, it will improve management skills of those involved, which will be beneficial for many future projects.

Short-term objectives

After completion of the whole Environmental Sanitation projects in Ho Chi Minh City, domestic wastewater in the basin of NhieuLoc – ThiNghe and District 2 will be treated to meet Class A standard before they are discharged to the environment.

1.2 Project impacts

The project is expected to bring about an overall positive impact (which is the ultimate project objective) – improved environmental sanitation for a) the NLTN catchment area and b) some select areas from district 2 catchment area. This objective will be achieved through the construction of a) an interceptor (about 8km long) in District 2 to collect waste water from both sources (NLTN catchment area and district 2 catchment area) and a) a Waste Water Treatment Plant (to the downstream of the interceptor) to provide treatment to the waste water collected. Despite of every effort to avoid the adverse impact (from permanent land acquisition at the WWTP (38,47ha) and temporary land acquisition (estimated 1,1ha) at the 22 shafts of the Interceptor), these negative impact will be unavoidable. However, various engineering design options have been studied, among other things, to identify the locations/alignments of the interceptor and the Waste Water Treatment Plant to keep the need for land acquisition as well as other environmental adverse impact during the construction at the minimum.

Because of the need for land acquisition (as mentioned above), the World Bank's OP 4.12 (Involuntary Resettlement) is triggered and a Resettlement Policy Framework (this document) was prepared as per the World Bank's OP 4.12 to address all potential impact related to the land acquisition, including the impact as a result of loss of land, crops, structures, businesses, and assets associated with the land.

1.3 Objectives and Principles of the Resettlement Policy Framework

Objective: The purpose of this Resettlement Policy Framework (RPF) is to establish resettlement principles, organizational arrangements, funding mechanisms, and design criteria to be applied to all subprojects that will be identified, designed and constructed during the project implementation.

The RPF is applicable to land acquisition (both permanent and temporary) as a result of the Project, including all projects activities. Particularly, the RPF will be used for: a) the construction of the interceptor where draft designs have been prepared but these designs are not yet confirmed by the authorities. Once the designs are confirmed, the land to be

acquired would be also confirmed and then the RPF would be used for land acquisition and resettlement. It is expected that for the shafts, land will be temporarily required for the construction; and land will also be required permanently at the top of the shafts where man-holes will be constructed. **Right of way (7 meters on either side of the center line of the interceptor) is also required above the interceptor. Existing homes that lie above the interceptor do not have to be removed but no new construction should take place along the right of way above the interceptor;** and b) the construction of the sewage network in the District 2 area where a feasibility study has been completed and detailed design work needs to be completed to determine the area and location of land to be acquired to lay sewers and pump wastewater for which land for pumping stations would be required. However, most of the sewers will be laid under public roads and as a result the land to be acquired is expected to be limited.

As of 4 August 2014, it was confirmed by CDM (technical consultant of IMA) that the laying of the 8km Interceptor line (3.2 m in diameter) will not require any acquisition of land (on the top of the Interceptor) because the Interceptor will be pipe-jacked at the depth from 12m to 20m below the natural ground surface (from 21 shafts that will be installed vertically). However, land would be permanently required for the area of four shafts (four local households) (each shaft is 10.5m in diameter) if the planned road (as per approved District 2 master plan) is not finished before the installation of these shafts take place. By December 2015 (when the construction plan of these shafts is finalized), if the locations required for installation of these six shafts are still under use by private households, land acquisition will take place and this RPF will be used to guide the compensation for the private households, including permanent land acquisition (just sufficient for the shaft installation), and temporary land acquisition (if required for shaft installation purpose). According to the draft detailed engineering design of the Interceptor (which has not yet been approved by HCMC People's Committees), the land at these four shaft location are at the moment vacant. There is no structure, residence found within the area required for the shaft installation. Thus, no physical resettlement is envisaged. Consultations with the four local households (who at the moment own land at these shaft locations) confirm they are supportive to the installation of the shafts if the planned road is not finished by the time of project construction. As part of the Feasibility Study and the technical engineering design, effort has been made (in selection of interceptor alignment and locations of shafts) to avoid/minimize the impact on the existing land surface.

This RPF was prepared in compliance with the World Bank's OP 4.12 on Involuntary Resettlement and the Vietnam's pertinent laws and regulations. The RPF will be applied to all components of the projects, i.e. Interceptor and sewer connections from District 2, that may result in involuntary resettlement, regardless of the source of financing.

Since the Feasibility Study (for the entire Project) has not been approved by Ho Chi Minh City People's Committee (HCMC PC), the next steps that IMA will take will be:

- IMA to submit the final Feasibility Study (FS, for the entire Project) to HCMC PC for review.
- The HCMC PC to send the final FS to the Ministry of Construction, Ministry of Finance, and Ministry of Planning and Investment for endorsement.

- HCMC PC will clear the final FS for implementation (on the basis of the endorsement from relevant Ministries).

Once the FS is approved, the alignment of the Interceptor will be finalized which will determine the locations where land acquisition is required to allow the installation of the Interceptor, the shafts, as well as sewage connection (between select catchment area of District 2 and the Interceptor). Where required, site-specific RAP will be prepared in accordance with this RPF. Please see Annex 3 for the current land status at the area required for the Interceptor and shafts which was prepared on the basis of the draft Feasibility Study (that has not yet approved by HCMC People's Committee).

1.4 Linked activities

OP 4.12 also applies to other activities resulting in involuntary resettlement that are:

- Directly and significantly related to the Bank-funded project.
- Necessary to achieve its objectives as set forth in the project documents; and
- Carried out, or planned to be carried out, contemporaneously with the project.

Screening for linked activities has been done by the Bank's Task Team during project preparation. This exercise will be repeated during project implementation, particularly for the Interceptor section, when the detailed engineering design is finalized and approved.

This RPF shall be used as guidance for the detailed planning and implementation of the land acquisition, resettlement and rehabilitation program under the HCMCES 2.

2. LEGAL FRAMEWORKS FOR THE RESETTLEMENT POLICY FRAMEWORK

2.1 The Legal Frameworks of the Government of Vietnam:

For projects that involve acquisition of land/resettlement, the following important legal documents, among other documents, are applicable.

- Constitution of Vietnam 2013.
- Land Law 2013 which has been effective since July 1, 2014. Decree No.43/2014/ND-CP dated May 15, 2014 of the Government providing guidance on detailed implementation of some articles from the Land Law 2013.
- Decree No. 44/2014/ND-CP dated 15 May 2014 of the Government providing regulations on land prices.
- Decree No. 47/2014/ND-CP dated 15 May 2014 of the Government on compensation, support, and resettlement when land acquisition is required by the State.
- Circular No. 36/2014 / TT-BTNMT dated 30 June 2014, specifying detailed methods of valuation of land prices, construction, adjustment of land prices; specific land prices valuation and land prices valuation consulting service.

- Circular No. 37/2014/TT-BTNMT dated 30 June 2014, providing detailed regulation compensation, assistance, and resettlement when the State acquires land.
- Decision No. 1956/2009/QĐ-TTg, dated November 17 2009, by the Prime Minister approving the Master Plan on vocational training for rural labors by 2020.
- Decision No. 52/2012/QĐ-TTg, dated November 16 2012, on the support policies on employment and vocational training to farmers whose agricultural land has been recovered by the State.
- Document of Prime Minister No. 1665/TTg-CN, dated October 17 2006, regarding management of clearance of site, mine and explosive ordnance for transport construction, and
- Other regulations or administrative decisions with bearing on HCMCES 2 resettlement plan and implementation including relevant decisions by HCMC People's Committee related to principles for compensation, assistance and resettlement in the event of land acquisition required by the State, and HCMC PCs' decisions on compensation unit prices for land, crops, and affected assets due to land acquisition for the purpose of the Project.

2.2 Involuntary Resettlement Policy of the World Bank OP 4.12

The WB's involuntary resettlement policy objectives are the following:

- a. Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs.
- b. Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits. Project affected persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs.
- c. Project affected persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

2.3 Comparison between Government of Vietnam and World Bank approaches:

There are differences between the Government of Vietnam's Laws, policies, regulations related to land acquisition/resettlement, and the World Bank's OP 4.12 on Involuntary Resettlement. The following table highlights the key differences in order to establish a basis for the design of the principles to be applied for compensation, assistance and livelihood restoration support for the affected households, which will be applied under this project.

Table 1. Comparison of Vietnam's and World Bank's Policies related to Involuntary Resettlement

<i>Subjects</i>	Bank's OP 4.12	Government of Vietnam	Project Measures
<i>Land Property</i>			
<i>Policy objectives</i>	<i>PAPs (Project Affected Persons) should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher</i>	<p>Not mentioned.</p> <p>However, there is a provision of support to be considered by PPC/CPC to ensure they have a place to live, to stabilize their living and production. (Article 25 of Decree 47).</p> <p>In case the amount of compensation/support is not enough for resettled people to buy a minimum resettlement plot/apartment, they will be financially supported to be able to buy a minimum resettlement plot/apartment (Article 86.4 of Land Law 2013 and Article 27 of Decree 47)</p>	Livelihoods and income sources will be restored in real terms, at least, to the pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.
<i>Support for affected households who have no recognizable legal right or claim to the land they are occupying</i>	<i>Financial assistance to all project affected persons to achieve the policy objective (to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher)</i>	Only agricultural land used before July 1, 2004 is eligible for compensation. Other cases may be considered for assistance by PPC if needed.	Financial assistance of an agreed amount will be given to all PAPs, regardless of their legal status, until their livelihoods and standards of living restore in real terms, at least, to pre-displacement levels.
<i>Compensation for illegal structures</i>	<i>Compensation at full cost for all structures regardless of legal</i>	No compensation	Compensation at full replacement cost will be given for all

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
	<i>status of the PAP's land and structure.</i>		structures affected, regardless of legal status of the land and structure.
Compensation			
<i>Methods for determining compensation rates</i>	<i>Compensation for lost land and other assets should be paid at full replacement costs,</i>	Compensation for lost assets is calculated at price close to transferring the assets in local markets or the cost of newly-built structures. City People's Committees are granted to identify compensation prices for different categories of assets. Independent land valuator can be used to determine land prices, which will be appraised by land appraisal board before Provincial/City People's Committee approval.	Independent appraiser identifies replacement costs for all types of assets affected, which are appraised by land appraisal board and approved by. City People's Committees to ensure full replacement costs.
<i>Compensation for loss of income sources or means of livelihood</i>	<i>Loss of income sources should be compensated (whether or not the affected persons must move to another location)</i>	Assistance in respect of income loss is given only for registered businesses. Assistance measures to restore income sources are provided.	All income losses are to be compensated and, where necessary to achieve the objectives of the policy, development assistance in addition to compensation will be provided.
<i>Compensation for indirect impact caused by land or structures taking</i>	<i>It is good practice for the borrower to undertake a social assessment and implement measures to minimize and mitigate adverse economic and social impacts, particularly upon poor and vulnerable groups.</i>	Not addressed.	Social assessment has been undertaken and measures identified and being implemented to minimize and mitigate adverse impacts, particularly upon poor and vulnerable groups.
<i>Livelihood restoration and</i>	<i>Provision of livelihood restoration and</i>	Livelihood restoration and assistance	Provision of livelihood restoration

Subjects	Bank's OP 4.12	Government of Vietnam	Project Measures
<i>assistance</i>	<i>assistance to achieve the policy objectives.</i>	measures are provided. No follow-up for full livelihood restoration after resettlement completion.	and assistance measures to achieve the policy objectives. These will be monitored as detailed in the RAP
<i>Consultation and disclosure</i>	<i>Participation in planning and implementation, specially confirming the eligibility criteria for compensation and assistance, and access to Grievances Redress Mechanisms</i>	Focus mostly on consultation during planning (consultation on draft plan of compensation, support and resettlement and plan for training, career change and facilitating job searching); information sharing and disclosure.	Consultation and participation incorporated into RAP design, along with information sharing with PAPs and stakeholders.
<i>Grievance redress mechanism</i>			
	<i>Grievance redress mechanism should be independent</i>	The same governmental body makes decisions on compensation and resettlement, and also handles grievances at the first step. However, complainants can go to court at any steps as PAP wishes.	More effective Grievance and Redress mechanisms are to be established, built on the existing governmental system, with monitoring by an independent monitor
<i>Monitoring & Evaluation</i>			
	<i>Internal and independent monitoring are required</i>	Citizens are allowed to supervise and report on breaches in land use and management on their own (or through representative organizations), including land recovery, compensation, support and resettlement (Article 199, Land Law 2013). There is no explicit requirements on monitoring of the	Both internal and external (independent) monitoring is to be regularly maintained (on a monthly basis for internal and bi-annual basis for independent monitoring). An end-of-project report will be done to confirm whether the objectives of OP 4.12 were achieved.

<i>Subjects</i>	Bank's OP 4.12	Government of Vietnam	Project Measures
		resettlement works, including both internal and independent (external) monitoring	

As a World Bank member country, the Government of Vietnam has committed that, should the international agreements signed or acceded to by Vietnam with the World Bank contain provisions different from those in the present resettlement legal framework in Vietnam, the provisions of the international agreements with the World Bank shall prevail. According to provision 2 of Article 87 of the Land Law, “for the projects using loans from foreign and international organizations for which the State of Vietnam has committed to a policy framework for compensation, support, resettlement, that framework is applied”.

This RPF confirms that in committing to this instrument, the Government of Vietnam and the Ho Chi Minh City People's Committee grant the waivers to the relevant articles in various Vietnamese laws that contradict or are not consistent with the objectives set forth in this RPF. The measures taken to address the differences and comply with the WB policy are addressed under this RPF.

3. PRINCIPLES AND POLICIES FOR RESETTLEMENT, COMPENSATION AND REHABILITATION

3.1 General principles

All projects affected people (PAP) who have assets within or reside within the area of project land-take before the cut-off date are entitled to compensation for their losses as per this RPF. Those who have lost their income and/or subsistence will be eligible for livelihood rehabilitation assistance based on the criteria of eligibility defined by the project in consultation with the PAP. If, by the end of the project, livelihoods have been shown not to be restored to pre-project levels, additional measures should be considered.

- The compensation rates will be determined based on the results of independent appraisal of the land/crops/assets (associated with the land) in a timely and consultative manner. All fees and taxes on land and/or house transfers will be waived or otherwise included in a compensation package for land and structures/or houses or businesses. The local authorities will ensure that PAP choosing relocation on their own, obtain, without additional costs, the necessary property titles and official certificates commensurate with similar packages provided to those who choose to move to the project resettlement sites.
- Land will be compensated “land for land”, or in cash, according to PAP's choice whenever possible. The choice of *land for land* must be offered to those losing 20% or more of their productive land. If land is not available, the IMA must assure itself, that this is indeed the case. Those losing 20% or more of their land will have to be assisted to restore their livelihood. The same principles apply for the poor and vulnerable people losing 10% or more of their productive landholding.

- PAP who prefers “land for land” will be provided with land plots with the equivalent productive capacity for lost lands or a combination of land (a standard land plot) in a new residential area nearby for residential land, and cash adjustment for difference between their lost land and the land plots provided. The resettlement area will be planned properly and implemented in consultation with the PAP. All basic infrastructures, such as paved roads, sidewalks, drainage, water supply, and electricity and telephone lines, will be provided.
- PAP who prefers “cash for land” will be compensated in cash at the full replacement cost. The PAP will be assisted in rehabilitating their livelihoods and making their own arrangements for relocation.
- Compensation for all residential, commercial, or other structures will be offered at the replacement cost, without any depreciation of the structure and without deduction for salvageable materials. Structures shall be evaluated individually. Any rates set by category of structure must use the highest value structure in that group (not the lowest).
- The PAP will be provided with full assistance (including a transportation allowance) for transportation of personal belongings and assets, in addition to the compensation at replacement cost of their houses, lands, and other properties.
- Compensation and rehabilitation assistance must be provided to each PAP at least 30 days prior to the taking of the assets for those who are not to be relocated and 60 days for those who will have to be relocated. Exceptions should be made in the case of vulnerable groups who may need more time.
- If, by the end of the project, livelihoods have been shown not to be restored to pre-project levels, additional measures should be considered.
- Financial services (such as loans or credits) will be provided to PAP if necessary. The installment amounts and the schedule of payments will be within the repayment capacity of PAP.
- Additional efforts, such as economic rehabilitation assistance, training and other forms of assistance, should be provided to PAP losing income sources, especially to vulnerable groups in order to enhance their future prospects toward livelihood restoration and improvement.
- The previous level of community services and resources, encountered prior to displacement, will be maintained or improved for resettlement areas.

Temporary Resettlement. Relocation of any households more than once, should be avoided because it leads to PAP being impacted twice or more and will slow down the livelihood restoration time. If happens, these households should be considered for additional benefits as they have been impacted twice. If the IMA has verified that temporary resettlement is unavoidable for such reasons as:

- Final resettlement is subject to the temporary resettlement, (e.g., construction of the resettlement site will not take place until the PAP are temporarily relocated).
- An implementation plan for the final resettlement is agreed by PAP and approved by Ho Chi Minh City People’s Committee and the Bank, then an additional

assistance package offered to PAP.

3.2 Compensation Policies

3.2.1 Compensation Policy for Permanent Impact

a) For Loss of Agricultural land

Legal land users:

If the lost area represents less than 20% of a Household's (HH's) land holding (or less than 10% for poor and vulnerable groups), and the remaining area is economically viable, compensation in cash will be at 100% replacement cost for the lost area.

If the lost area represents 20% or more of the HHs' land holding, (or 10% or more for the poor and vulnerable groups) or the remaining area is economically not viable, then "land for land" compensation should be considered as the preferred option. If no land is available, then IMA must demonstrate this to the World Bank's satisfaction before proceeding. If land is not available, or if the PAP prefers cash compensation, then cash compensation will be provided for the lost area at 100% of land replacement cost, and the PAP will be provided with rehabilitation measures to restore the lost income sources, such as agricultural extension, job training, credit access, provision of non-agricultural land at a location appropriate for running off-farm business or services. If the PAPs wish, and there is land of similar value elsewhere, the project should also assist these PAPs to visit these areas and help with legal transactions should they wish to acquire them. For agricultural land lying intermixed with residential areas, and garden and pond land lying adjacent to residential areas, apart from compensation at the price of agricultural land having the same use purpose, monetary support shall also be provided; with the prices for such support being equal to between 50% and 70% of the prices of adjacent residential land; and with the specific support levels being decided by the City People's Committees (CPC) to suit local conditions.

Users with temporary or leased rights to use communal/public land (PAPs who rent communal or public land):

Cash compensation at the amount corresponding to the remained investment put on the land or corresponding to the remained value of the land rental contract, if it exists.

For PAPs currently using land assigned by State-owned agricultural or forestry farms on a contractual basis for agricultural, forestry, or aquaculture purposes (excluding land under special use forests and protected forests), compensation shall be provided for investments made on the land, but not for the land itself, and these PAPs will also receive additional support for income rehabilitation if they are directly involved in agricultural activities as per Government's regulations. Where PAPs receive land on a contractual basis but are other than the individuals specified as above, they shall only receive compensation for investments made on the land.

Land Users who do not have formal or customary rights to the affected land

Instead of compensation, these PAPs will receive financial assistance at 80% of the land value in cash. Agricultural land used before July 1, 2004 will be compensated at 100% as per Article 77.2 of the land law. These PAPs will be entitled to the rehabilitation measures mentioned above, to ensure that their living standards are restored.

In cases where the land is rented through civil contracts between individuals, households or organizations, then the compensation for crops, trees or aquaculture products will be paid to the affected land users and IMA shall assist the renter to find similar land to rent.

In cases when PAPs utilize public land (or protected areas), with an obligation to return the land to the Government when requested, the PAPs will not be compensated for the loss of use of the land. However, these PAPs will be compensated for crops, trees, structures and other assets they own or use, at full replacement cost.

The social and baseline assessment should consider if a physical impediment caused by the Project (such as a new public safety restriction) will impose additional costs on PAPs, and whether additional compensation is required to offset these costs.

b) For Loss of Residential Land

Loss of residential land without structures on it:

For legal and/or legalizable land users, all compensation for loss of land will be made in cash at full replacement cost. For land users who have no recognizable land use right, financial assistance of an agreed amount will be provided. The amount will be determined by the respective Provincial People's Committee.

Loss of residential land with structures built thereon, where the remaining (non-acquired) land is adequate to rebuild the structure (reorganizing PAP):

Compensation for loss of land will be made in cash at (i) full replacement cost for legal and legalizable land users; (ii) Financial assistance of an agreed amount will be provided to land users who do not have recognizable land use rights.

Loss of residential land with structures built thereon, and the remaining land is not adequate to rebuild the structure (relocating PAP):

(i) For PAPs who have legal or legalizable rights to the affected land:

- A land plot of equivalent size and quality, in a well-developed resettlement site. Where land is not available, an apartment will be provided to the PAP. This will be done in consultation with the PAP. Full ownership title to the land or apartment will be given at no cost to the PAP.

OR,

- On request of and with full consultation with the PAP, cash compensation at full replacement cost, plus the amount equivalent to the value of the infrastructure investments calculated as an average for each household in a resettlement site. In this case, the household will be expected to relocate themselves.

In the event that the compensation amount to be paid is less than the cost of a minimum land plot/apartment in the project's resettlement site, PAPs will be given the support needed to allow them to acquire the new land plot/apartment at no additional cost to them. If a land plot/apartment in the resettlement site is not PAP's chosen option, a financial assistance, equivalent to the difference in the value of the chosen and actually received land plot/apartment will be provided to them.

(ii) PAPs who do not have formal or customary rights to the affected land:

- Financial assistance of an amount to be determined by City People’s Committee will be given.
- If the PAP has no place to move, a land plot or an apartment satisfactory to them will be provided in the resettlement site and they can either pay in installment or rent it for living.

In case the relocated PAPs belong to poor or vulnerable groups or households, additional assistance (in cash and kind) will be provided to ensure that they are able to fully relocate to a new site.

c) For Loss of House/Structures

Compensation or assistance in cash will be made for all affected private-owned houses/structures, at 100% of the replacement costs for materials and labor, regardless of whether or not they have title to the affected land or a construction permit for the affected structure. The compensation will be sufficient to rebuild the affected house/structure of the same quality. As per OP 4.12 cash compensation will be at full replacement cost in local markets. No deductions will be made for depreciation or salvageable materials.

If the house/structure is partially affected, a financial assistance will be provided to enable PAPs to repair the affected house/structures to restore it to the former condition, or better, at no additional cost to them.

Tenants

- Tenants of state-owned or organization-owned houses will be: (i) entitled to rent or buy a new apartment of an area at least equal to their affected ones or (ii) provided a financial assistance equivalent to 60% of replacement cost of the affected land and houses. The affected structures built at the PAP’s own costs will be compensated for at full replacement costs.
- Tenants who are leasing a private house for living purposes will be provided with transportation allowance for moving assets, and will be assisted in identifying alternative accommodation.

d) For Loss of Standing Crops and Trees, or aquaculture products

For annual and perennial standing crops, trees or aquaculture products, regardless of the legal status of the land, cash compensation at full replacement cost will be paid to the affected persons who cultivate the land. The compensation will be sufficient to replace the lost standing crops, trees or aquaculture products in local markets. Perennial crops or trees will be compensated at a rate calculated on their life time productivity. Where affected trees can be removed and transported, compensation will be paid for the loss of the tree plus the transportation cost.

e) For Loss of Income and/or Business/Productive Assets

For PAPs losing income and/or business/productive assets as a result of land acquisition, the mechanism for compensating will be:

- Allowance for Business Loss: All affected businesses and production households whose income is affected will be compensated and/or supported for losses in business equivalent to 50% of their actual annual income: (i) For licensed

businesses the compensation will be based on their average yearly income as declared with the taxation agency over the previous three years, and (ii) For unregistered affected businesses but have made their tax obligations the compensation will be supported by 50% of the specified support.

- Employees who are affected by acquisition of residential/commercial land acquisition, public land or land of enterprises: Allowance equivalent to the minimum salary as per the City regulations to affected employees during the transition period which can be for a maximum of 6 months. Assistance in finding alternative employment will also be given.
- If the business has to be relocated, the project will provide an alternative site with location advantage and physical attributes similar to the land lost, and with easy access to a customer base, satisfactory to the PAP. Alternatively, the PAP will receive compensation in cash for the affected land and attached structures at replacement cost, plus transportation allowance for movable assets.

f) Compensation for Graves

Compensation for the removal of graves/ tombs will include the cost of excavation, relocation, reburial and other related costs which are necessary to satisfy customary requirements. Compensation in cash will be paid to each affected family or to the affected group as a whole as is determined through a process of consultation with the affected community. The level of compensation will be decided in consultation with the affected families/communities. Household and individual graves are considered physical cultural resources (PCR) and even though the costs associated with their relocation will be covered in the resettlement plan, the WB OP 4.11 on Physical Cultural Resources should be triggered and relevant cross references should be made to the Environmental Management Plan or Project Implementation Manual.

g) Compensation for other assets

In the case of the affected households is equipped with telephone system, water meter, electric meter, cable TV, internet access (subscription), well shall be compensated according to unit price of installing new units offer service announcement or relocation costs due to service providers regulations.

h) Compensation for Loss of Public Structures

In cases where community infrastructure such as schools, factories, water sources, roads, sewage systems, medical centers, distribution/transmission, communication and fiber cable are damaged and the community wishes to reuse them, the project will ensure that these are restored or repaired as the case may be, at no cost to the community. Public infrastructure directly related to people's livelihoods and developmental needs, such as irrigation canals, school, clinic, etc. will be restored/rebuilt to pre-project or higher quality levels or compensated at replacement cost, as determined through consultation with the affected community.

3.2.2 Compensation Policy for Temporary Impact during Construction

When PAPs are adversely impacted by project works on a temporary basis, they are entitled to the following:

- Compensation for all affected assets/investments made on the land, including trees, crops etc., at full replacement cost.
- Cash compensation for rental loss, which is at least equivalent to the net income that would have been derived from the affected property during the period of disruption.

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 their contract specifications, the contractors will be required to take extreme care to avoid damaging property during their construction activities. Where damages do occur, the contractor will be required to repair the damage and may also be required to pay compensation to the affected families, groups, communities, or government agencies at the same compensation rates that are applied to all other assets affected by the Project.

Secondary PAPs: This refers to PAPs affected by development of individual resettlement or group resettlement sites. Because all secondary PAPs are likely to be affected in similar ways as primary ones, they will be entitled to compensation and rehabilitation assistance in accordance with the impacts on them and according to the same compensation rates and procedures that apply to all PAPs affected in this project.

Compensation for Loss of Community Assets: In cases where community infrastructure such as schools, bridges, factories, water sources, roads, sewage systems are damaged, the project will ensure that these will be restored or repaired at no cost for the community, and be done to a standard that meets the community's satisfaction.

Any other impacts that may be identified during implementation

Any other impacts identified during project implementation will be compensated in accordance with the principles of this RPF and World Bank OP 4.12. Any disruption of business will be compensated in accordance with the principles of this RPF.

3.2.3 Allowances and Rehabilitation Assistance

Besides the compensation for affected assets, PAPs will be provided with financial assistance to cover their expenses during the transition period. The assistance levels will be adjusted, taking into account inflation factor and price increase to be appropriate to the payment time. They include, but are not limited to:

For Impacts on Residential Land:

a. Transportation Allowance to relocating PAPs:

The support level moving to new location: moving in the city will be supported 6,000,000VND/household; particularly for level 4 housing and temporary housing will be supported 4,000,000VND/household. If moving out of city will be supported 10,000,000VND/household.

In case of eligibility for rebuilding house in the old place on the remaining land area shall be calculated 50% of the support of the case moving other places.

b. Removal Support: Organizations and PAPs that are allocated or leased land by the state or are lawfully using land and have to relocate their productive and/or business establishments are entitled to financial support for dismantling, relocating

and re-installation of the establishment. Support levels will be determined by actual costs at the time of removal, based on self-declaration of the organizations and verification by the agency in charge of compensation. This will then be submitted to the relevant authorities for approval.

- c. *House Renting Allowance* or temporary accommodation will be provided to PAPs who may be forced to relocate from their original homes and are still awaiting the replacement land plots or apartments. In the case of replacement land plots, the rental allowance will extend to the period during which the new house is being built.

For Impacts on Agricultural Land:

- ***Allowance for Loss of Livelihood (during transition period):*** (i) PAPs losing 20 - 70% of their agricultural land holding (or 10 - 70% for the poor and vulnerable groups) will be provided with compensation by three hundred (300) thousand VND /person/month for 6 months if they do not have to relocate, and for 12 months in case of relocation. In some special cases, in extremely difficult areas, the compensation may be provided for a maximum of 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 have to relocate, and 24 months in case of relocation. In some special cases, in extremely difficult areas, the compensation may be provided up to a maximum of 36 months; (iii) Households *affected by loss of less than 20% of land, where the remaining land is rendered unviable for continued use*, will be assisted with the above support plus any additional support as determined, for a period of 12 months. In case of land-for-land compensation, PAPs will be assisted with seedlings, agricultural-forestry extension programs, husbandry etc.
- ***Support for Skill Training/Job Change:*** The project will offer a range of training options in consultation with the affected PAPs and relevant to the market demand and needs of the area. The financial compensation will at most 5 times the agricultural land price established by the CPC of the acquired agricultural land, but subject to the local land allocation limit as per Government's regulations. ***Support for training, apprenticeships on vocational training establishments:*** At least one member of each affected household will be entitled to vocational training and assistance in getting employment in the province. The PAPs participating in such training programs will be exempted from payment of tuition fees. After finishing training courses, they will be given priorities to be recruited in local manufacturing industries.
- ***Assistance for agricultural, garden and pond land adjacent to, but not included in the category of residential land:*** Additional assistance (equivalent 40% of the cost of compensation for the adjacent residential plot) for garden land and pond land; and (at 50% of the cost of compensation for the adjacent residential plot) for agricultural land.
- **Other allowances/ assistance:**
 - ***Incentive Bonus:*** All PAPs who vacate the affected land immediately after receiving compensation and allowances will be given an incentive allowance of 3-5 million VND.

- **Repair Allowance:** If house/structure is partially affected and the remaining structure is viable for continued use, the project will provide a repair allowance equivalent to 20% of the compensation for the affected part of the structure, to enable PAPs to restore it to former or better conditions.
- Relocated households which eligible for resettlement, but self accommodation: an amount supported for investment in infrastructure cost/m² announced by the Ministry of Construction, the land area to support is the actual recovery land but not exceeding the limit of land allocation in accordance with regulations.
- Households relocating with school-going children will be supported with 1-year tuition as regulated by the Ministry of Education.

Allowances/ Assistance Targeted to Vulnerable Households:

For landless households: Assistance through provision of an apartment with either payment by installment to buy it or rent it for living (at PAP's choice). Additional assistance will be considered if needed to ensure the PAP have a place to live.

- **Social Policy:** (i) Relocated Households which included heroic mothers, heroic armed force, heroic labor, war veterans, wounded or dead soldiers will be provided with support as regulated by the PPCs from 2 million to 6 million VND per household: (ii) Poor Relocated Household or Poor Household whose 10% or more of their productive land affected or where <10% land affected but the remaining land is rendered unviable: 3-5 mil/HH (to be certified by local authority).
- **Other vulnerable groups:** Female headed households with dependents, household with disabled persons, elderly without any source of support and ethnic minority households will get the same additional support given to poor households in accordance with the provincial policy but not less than VND 3 mil per household.
- PAPs who will lose income sources will be entitled to take part in Income Restoration Programs. Rehabilitation measures like agricultural extension services, job training and creation, credit access and/or other measures as appropriate will be given to PAPs losing income sources to ensure their livelihood could be restored to the pre-project level.

Apart from the assistances mentioned above, based on the actual situation, the Project may consider other assistances to secure life stabilization, culture, production and livelihoods of APs.

4. ELIGIBILITY CRITERIA AND ENTITLEMENTS

Project affected people.

People directly affected by a project - through the loss of land, residences, crops, structures, business, assets, or access to resources, are:

- Persons whose agricultural land will be affected (permanently or temporarily) by the Project;

- Persons whose residential land/houses will be affected (permanently or temporarily) by the Project;
- Persons whose leased-houses will be affected (permanently or temporarily) by the Project;
- Persons whose businesses, occupations, or places of work will be affected (permanently or temporarily) by the Project;
- Persons whose crops (annual and perennial)/ trees will be affected in part or in total by the Project;
- Persons whose other assets or access to those assets, will be affected in part or in total by the Project; and
- Persons whose livelihoods will be impacted (permanently or temporarily) due to restriction of access to protected areas by the Project.

Identification of vulnerable groups or Households (HHs): the initial rapid socioeconomic surveys, the vulnerable groups will generally include the following:

- Poor and poorest households as identified by DOLISA and other pertinent national survey results. (Decision No. 37/2012/QĐ-UBND, HCM City date 08/16/2012 on promulgating standards near poor households apply for the period 2011-2015). Poor rural landless households, especially those that are heavily natural resource dependent;
- Poor landholders that have limited productive land (an estimate of the minimum amount of farm land needed to be a viable farmer in the project area);
- Ethnic minority households;
- Mentally and physically handicapped people or people in poor physical health; infants, children and women without assistance;
- Poorest women-headed households and women-headed households with dependents without support;
- Other PAP identified by the IMA and those who may not be protected through national land compensation or land titling; or
- Any additional groups identified by the socio economic surveys and/or by meaningful public consultation.

Eligibility: The eligibility for obtaining entitlements to compensation is generally built upon 3 concepts relating to asset ownership as follows:

- (i) Those who have formal legal rights to land (including customary and traditional rights recognized under the laws of the country. In the consideration, it is also useful to document how long they have been using the land or the assets associated with it);
- (ii) Those who do not have formal legal rights to land at the time the census begins but have a claim to such land or assets provided that such claims are recognized under the laws of the country or become recognized through a process identified in the resettlement plan;

- (iii) Those who have no recognizable legal right or claim to the land they are occupying.

Persons covered under (i) and (ii) are provided compensation for the land 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 set out in this policy, if they occupy the project area prior to a cut-off date established by the borrower and acceptable to the Bank. Persons who encroach on 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 compensation for loss of owned or used assets other than land.

Entitlements: With respect to a particular eligibility category, entitlements are the sum of compensations and other forms of assistance provided to displaced persons. Please refer to Annex 1 for the Full Entitlement Matrix.

New households after the cut-off-date:

Those households splitting from the large families after the cut-off-date who meet the following conditions will be eligible for resettlement benefits as stand-alone households and are recognized as PAPs:

- a) Households splitting from a family with minimum of two couples and having minimum of six persons; and
- b) Endorsement by the District authority, with verification of commune's People's Committee that the household has split.

Newly born children, spouses of persons named in the household registration books, people who have completed military service, and people who have just returned from schools to live with the affected households after the cut-off date will be entitled to the compensation and support measures outlined in this document.

5. CONSULTATIONS WITH PROJECT AFFECTED PEOPLE'S

This chapter described briefly how the consultation has been done with project stakeholders, particularly with potentially affected households, in order to prepare this RPF. It also suggests key consultation principles that should be adopted when consulting with project stakeholders during the preparation and implementation of subprojects that will be identified during Project implementation.

5.1 Objectives of Public Information and Consultation

Information dissemination to PAPs and involved agencies is an important part of project preparation and implementation. Consultation with PAPs and ensuring their active participation will reduce the potential for conflicts and minimize the risk of project delays. This will also enable the Project to design the resettlement and livelihood restoration program as a comprehensive development program to suit the needs and priorities of the PAPs, and thereby maximizing the economic and social benefits of investments. The objectives of the public information and consultation program are as follows:

- a. To ensure that local authorities, as well as representatives of PAPs, will be

included in the planning and decision-making processes. The IMA will work closely with the City's People's Committees and the District's People's Committees and related line departments, agencies during project implementation. PAP involvement in implementation will be continued thereafter by requesting each district to invite PAP's representatives to be a member of the District Resettlement Committee and take part in the resettlement activities (property evaluation, compensation, resettlement, and monitoring).

- b. To fully share information about the proposed project components and activities with the PAPs.
- c. To obtain information about the needs and priorities of the PAPs, as well as receiving information about their reactions to proposed policies and activities.
- d. To ensure that PAPs are able to make fully informed decisions that will directly affect their incomes and living standards, and that they will have the opportunity to participate in activities and decision-making about issues that will directly affect them.
- e. To obtain the cooperation and participation of the PAPs and communities in activities necessary for resettlement planning and implementation.
- f. To ensure transparency in all activities related to land acquisition, resettlement, and rehabilitation.

5.2 Consultation approach adopted when preparing this RPF

This RPF was developed on the basis of the social assessment/consultations that were conducted intermittently between June 2011 and August 2014. To engage in a meaningful consultation, people participating the consultation, including potentially affected people from selected wards of District 2, and from the downstream area of the Waste Water Treatment Plant, were informed of all relevant information about the project, including, *inter alia*, the scope and nature of the proposed project components (Interceptor, Waste Water Treatment Plant, and related facilities connecting District 2 area to the Interceptor...), and other project activities, the tentative project implementation schedule, and the potential impact of the Project (Please refer to the Social Assessment Report for details).

The consultation was led by Saigon Water, Environment And Infrastructure Joint-Stock Company (Saigon WEICO)- a consulting firm to IMA, under the guidance and supervision of the World Bank's Project Task Team. The consultation methods adopted are appropriate to each group consulted (Please refer to the Social Assessment Report for details). Particular attention has been given to the feedback from vulnerable groups, especially those who are poor (as defined by the current national standard), the landless, the elderly, women and children. The consultation also covered the groups of peoples who live to the downstream of the waste water treatment plan. To make sure social consultation captures environmental aspects, concerns, joint consultation had been requested for the some groups where there is a potential combined social and environmental impact, guided by the Bank's project Task Team.

To learn from experience from the Ho Chi Minh City Environmental Sanitation of Phase 1 (HCMCES 1, which was also financed by the World Bank), consultation with the

affected group from HCMCES 1 was also made to learn from the past experience and incorporate lessons learned (primarily related to compensation/resettlement) to this project (HCMCES 2). The consultation outcomes are not only useful for informing the formulation of this RPF, but also beneficial to the design of various projects activities to address the adverse impact while maximizing the intended benefits on the part of both affected and non-affected population

5.3 Consultation during Subproject Identification and Preparation

During the identification and preparation for subprojects, consultation with project stakeholders will be conducted to gather information for assessing the project resettlement impacts and to provide recommendations on possible alternative technical options to avoid and/or minimize/mitigate potential negative resettlement impacts on local populations, and to proactively address issues or problems that may emerge during implementation. Potentially affected households will be consulted to assure they have opportunities to participate in planning, implementation, and monitoring of resettlement activities that affect them, including the design of livelihood assistance options that aim for them. The methods of project information and public consultation may include participatory rapid appraisals and stakeholder's consultation ones, using techniques of site and household visits, public meetings, focus group discussions, and household socio-economic survey.

At the early stage of the subproject preparation, local authorities and leaders of different administrative will be informed about the subproject proposal, its objectives and proposed activities. They will be intensively consulted, and actively participated in discussions on their development needs and priorities, about their perception toward the project objectives. PAPs will be consulted on project potential impacts and possible measures to reduce potential negative impacts, and improve benefits for local people.

After the subproject is approved, mass media, including local TV programs and newspapers will introduce the proposed subproject to the general public, including its objectives, and on-going activities.

For subprojects to be identified over the course of the project life, public consultation should be a process and will need to take place as many times as needed for locally affected people to understand project impacts and to take necessary preparation to respond to the impact and restore their livelihoods. Questions raised during consultation meetings should be recorded along with the answers provided by the project. This must be kept as part of the project's records.

5.4 Consultation Proposed During Subproject Implementation

5.4.1 Information Dissemination and Consultation

During subproject implementation, the IMA will undertake the following:

- Provide information to resettlement committees at all levels through training workshops. Detailed information on the project policies and implementation procedures will be provided.
- Conduct information dissemination to and consultation with PAPs throughout the life of the project.

- Update the compensation unit prices, and confirm land acquisition and impact on properties through a Detailed Measurement Survey (DMS) in consultation with PAPs.
- The District Resettlement Committee will then apply prices, calculate compensation entitlements, at replacement cost on the basis of independent land/asset appraisal, and complete the Compensation Forms for each affected household. Information on entitlements will then be presented to all affected households in the DMS follow-up visit to each household.
- The Compensation Forms, showing the household's affected assets and compensation entitlements, will then need to be signed by the PAPs to indicate their agreement with the assessment. Any complaints the PAPs have about the contents of the form will be recorded at this time.
- A letter/questionnaire about resettlement options will be given to all PAPs entitled to relocation (a) to inform them about resettlement options (a clear explanation of the consequences of choosing each option will be given), (b) to request that PAPs confirm their choice of resettlement option and their preliminary confirmation of resettlement site location, and (c) to request that PAPs indicate services such as education/health/markets that they are currently using and their current distance from such services.
- Consultation regarding PAPs preferred option for rehabilitation assistance. This applies to severely affected and vulnerable PAPs. The resettlement committee will inform the PAPs of options and entitlement to rehabilitation assistance before asking them to indicate preferences for such rehabilitation assistance.

5.4.2 Public Meetings

Prior to the beginning of the detailed design, a public meeting will be held in each ward/commune to provide PAPs with additional information and an opportunity for open discussion about resettlement policies and procedures in each affected commune. A letter of invitation will be sent to all PAPs at least one week before the meeting in their area. This meeting is intended to clarify information that has been given to date and to provide PAP with the opportunity to discuss issues of concern and obtain clarification. In addition to a letter informing the PAP, other means will be used to inform PAP and the general public such as posters in prominent locations in the communes and districts where PAP currently reside: radio, newspaper and public poster announcements, at ward and district People's Committee. The letter and notices will advise the time and location of the meeting, and who can attend. Both men and women from affected households will be encouraged to attend, as well as other interested community members. The meeting will explain the Project, and households' rights and entitlements, and there will be opportunities to ask questions. Such meetings will be conducted periodically during the life of the Project, particularly during the preparation of the subprojects where the impacts become clear.

Relevant information will be given to the PAP at the meetings (verbally, graphically, and/or on printed information sheets). Extra copies of the printed information sheets will be available at township and district offices throughout the project area. The meetings are proposed to have the following format:

Explanations should be given verbally and in visual format, including written information and drawings of the proposed design for the different works supported by the Project.

Adequate opportunities will be provided for PAPs to respond with questions and comments. PAPs will be encouraged to contribute their ideas for PAP rehabilitation options.

District Resettlement Committee will establish a complete list of all PAPs present at the meetings.

District Resettlement Committee will make a complete record of all questions, comments, opinions and decisions that arise during the information/consultation meetings, and present a report of all the meetings to the IMA.

The following information will be given to PAPs:

Project components and subprojects: This includes the places where they can obtain more detailed information about the Project.

Project impacts: Impacts on the people living and working in the affected areas of the project, including explanations about the need for land acquisition for each subproject.

PAP' rights and entitlements: These will be defined for PAPs (with the cut-off date). The rights and entitlements for different impact on PAPs, including the entitlements for those losing businesses, jobs and income will be explained. Available options include for land-for-land and cash compensation, options regarding reorganizing and individual resettlement, provisions and entitlements to be provided for each PAP, entitlement to rehabilitation assistance and opportunities for project-related employment.

Grievance mechanism and the appeal process: PAPs will be informed that the project policies and procedures are designed to ensure their pre-project living standards are restored. PAPs will also be informed that if there is any confusion or misunderstanding about any aspect of the Project, the resettlement committee can help resolve problems. If they have complaints about any aspect of the land acquisition, compensation, resettlement, and rehabilitation process, including the compensation rates being offered for their losses, they have the right to make complaints and to have their complaints heard. PAPs will receive an explanation about how to access grievance redress procedures.

Right to participate and be consulted: The PAPs will be informed about their right to participate in the planning and implementation of the resettlement process. The PAPs will be represented in District's resettlement committees, and the representative for the PAP will be present whenever commune/district/City committees meet to ensure their participation in all aspects of the project.

Resettlement activities: PAPs will be given an explanation regarding compensation calculations and compensation payments; monitoring procedures which will include interviews with a sample of PAPs; relocation to an individual location/self-relocation; and preliminary information about physical works procedures.

Organizational responsibilities: PAPs will be informed about the organizations and levels of Government involved in resettlement and the responsibilities of each, as well as the names and positions of the government officials with phone numbers, office locations, and office hours if available.

Implementation schedule: PAPs will receive the proposed schedule for the main resettlement activities and informed that physical works will start only after the completion of all resettlement activities and clearance. It will be clarified that they will be expected to move only after receiving full payment of compensation for their lost assets. Implementation schedules and charts will be provided to resettlement committees at all levels.

5.4.3 Compensation and Rehabilitation

A letter of notification will be sent to each PAP with the time, location, and procedure for receiving compensation payment. Severely affected and vulnerable PAP will be personally contacted to confirm their preferences for rehabilitation assistance.

5.4.4 Public Information Booklet (PIB)

To ensure that PAPs, their representatives, and local governments in the affected areas fully understand the details of the resettlement program, and are also informed about the compensation and rehabilitation packages applicable to the Project, a Public Information Booklet (PIB) will be prepared by the IMA, in consultation with the World Bank. This booklet will be distributed to all PAPs in the project area. General contents of the PIB will include the following:

- Brief Description of the Project, Implementation Schedule, Project Impacts.
- Entitlements and Rights of PAP, Resettlement and Rehabilitation Policies.
- Impacts, Institutions Responsible for Resettlement, Information Dissemination.
- Consultations with Project Displaced Persons, What To Do if PAP have a Question.
- Problem, Grievance Procedure, and Independent Monitoring.

6. PUBLIC DISCLOSURE

The Vietnamese version of this RPF will be disclosed at the office of IMA, HCMC PC, DPCs, Ward PCs and Bank's VDIC in Hanoi both prior to, and following the appraisal of the project. The English version of RPF will be disclosed at the World Bank's InfoShop in Washington D.C. before the Bank commences the project appraisal. The final RPF version which is ratified by both the Government of Vietnam and the World Bank will be disclosed in both English and Vietnamese as soon as they become available.

7. IMPLEMENTATION ARRANGEMENTS

7.1 Organizational Arrangements

The implementation of resettlement activities requires the involvement of agencies at the city, district and ward levels. The Ho Chi Minh City People's Committee will be

responsible for the overall implementation of this RAP that was prepared specifically for the construction of the WWTP. As per Document 3246/UBND-VP (dated 9 November 2010, issued by District 2 PC in accordance with HCMC PC's Document No. 655/TB-VP dated 27 October 2010), the District 2 Public Utilities Company (LTD) has been assigned by HCMC PC to directly implement the RAP.

The following is an overview of key implementation responsibilities of each unit involved in the resettlement implementation under the project.

7.1.1 City level

Ho Chi Minh City People's Committee

HCMC People's Committee, on behalf of the Government, is responsible for the overall implementation of the HCMCES 2 and the RPF/RAP(s) under the project. The HCMC PC will take lead and provide guidance to the Investment Management Authority, Districts 2 People's Committee, and relevant agencies involved in any aspects of RAP implementation to ensure all RAP(s) under the Project are prepared and implemented as per the Project's RPF.

Investment Management Authority (IMA)

The IMA was assigned by HCMC PC to be responsible for the overall and day-to-day implementation of the Project, including the implementation of the RAP prepared for the WWTP. Therefore, IMA will be responsible to HCMC PC and will report to HCMC PC all aspects of RAP updating and implementation to assure the RAP under the Project is implemented as approved by HCMC PC and in line with the Project's RPF. IMA will work closely with the District 2 People's Committee, District 2 Resettlement Board, District 2 Public Utilities Service Company, Project's Resettlement Council, Thanh My Loi Ward PC, and relevant departments/agencies, consultants, and relevant stakeholders, to, on the basis of the approved detailed engineering design for the WWTP, conduct the additional consultation and socioeconomic survey with the remaining potentially affected households. IMA will also work closely with District 2 Resettlement Board, District 2 Public Utilities Service Company, Project's Resettlement Council, Thanh My Loi Ward PC to update this RAP (for the WWTP) for HCMC PC and Bank's review prior to RAP implementation. IMA will also take lead in ensuring the two independent consultants – one for conducting land/assets prices appraisal, and one for monitoring of RAP implementation are timely engaged, and coordinate with District 2 Resettlement Board, District 2 Public Utilities Service Company, Project's Resettlement Council, Thanh My Loi Ward PC, and relevant departments/agencies to ensure the RAP is fully updated with detailed compensation/support package for all affected households associated with the WWTP. IMA needs to make sure that this RAP, once update is completed, District level

7.1.2 District level

Under this project, the responsibilities of District 2 People's Committee are as follows, but not limited to:

- a. Provide timely and necessary guidance to the District 2 Resettlement Board, Project's Resettlement Council, and District 2 Public Service Company, Thanh My Loi Ward PCs, and relevant agencies/departments, to ensure this RAP is updated to reflect the requirements set forth under this RAP, and in line with

HCMC PC's guidance, taking into consideration of the new Land Law 2013 (which was effective as of 1 July 2014). Oversee the updating of the RAPs which will be done by the District 2 Resettlement Board, Project's Resettlement Council, and District 2 Public Utilities Service Company (in close coordination with IMA).

- b. Guide the District 2 Resettlement Board, Project's Resettlement Council, and District 2 Public Utilities Service Company in implementing the resettlement activities as outlined in the approved RAP (for the WWTP). In case where there are any errors/shortcomings that are identified through internal and/or independent monitoring exercise of the RAPs implementation, ensure corrective measures are timely and effectively taken to ensure the objectives of the RAP are met.
- c. Oversee the progress of the compensation and resettlement implementation and supervising the coordination between the civil works and the resettlement taking place in the WWTP area.
- d. Provide necessary resettlement training to implementing agencies, including familiarizing District 2 Resettlement Board, Project's Resettlement Council, and District 2 Public Utilities Service Company, of the objectives and requirements of the World Bank's OP 4.12 (Involuntary Resettlement) and the project's RPF and RAP to ensure WB OP 4.12 requirements set forth the RAP are fully implemented. Follow the consultation principles suggested under the RAP, including procedure for public disclosure of resettlement policies as outlined in the RAP.
- e. Review and advise Ho Chi Minh PC of emerging issues related to resettlement under the project to obtain timely guidance from HCMC PC.
- f. Ensure budget for compensation/assistance/resettlement for the approved RAP are timely available for compensation payment, and for livelihoods restoration program, if needed. Establish procedures for regular internal monitoring at district and ward level. Reviewing project progress reports and ensure resettlement implementation is in compliance with the project's RPF/approved RAP.
- g. Establish procedures for ongoing internal monitoring and coordination between contractors and local communities and prompt evaluation and compensation for community assets impacted by civil works.
- h. Establish procedures for prompt implementation of correction measures and actions in response to PAP's grievances.
- i. Be actively involved in addressing grievances that may arise related to land acquisition, and other land related issues, and ensure such grievances are satisfactorily solved in a timely manner. Ensure a record of grievance is set up appropriately at Thanh My Loi ward to their own monitoring and timely resettling.
- j. Coordinate for supplying the project related employment to PAPs (consult with contractors on employment opportunities for local population, inform them

about such opportunities and advise them how to make full use of such opportunities).

District 2 Resettlement Board (DRB)

The DRB will be responsible for:

- a. Oversee and coordinate the planning, updating, and implementing of this RAP among relevant stakeholders, particularly with IMA, Project's Resettlement Council, and District 2 Public Utilities Service Company, and Thanh My Loi Ward PC. In close collaboration with Project's Resettlement Council, District 2 Public Utilities Service Company, and Thanh My Loi Ward PC, support and monitor the implementation of the DMS exercise, consultation with PAP, and updating the RAP, to finalize the compensation/support packages for affected households.
- b. Submit the updated RAP to District 2 PC and share with IMA for submission to HCMC PC for review and approval prior to RAP implementation. Prepare available land and carrying out procedures for relocation of resettled PAPs, where applicable.
- c. Receive and appoint inspectors to redress PAPs' grievances related to resettlement policies and entitlements.
- d. Pay special attention to the needs and demands of specific groups and vulnerable people (the elderly, woman/single headed households...).
- e. Extend full cooperation and working closely with IMA, and with the independent monitoring consultant.

7.1.3 Ward Level

Ward People's Committee:

Ward People's Committee is responsible for the followings:

- a. Participate as member of District 2 Resettlement Board, and Project's Resettlement Council.
- b. Assign related ward officials/professionals to carry out all resettlement activities - in close coordination with District 2 Resettlement Board, Project's Resettlement Council, and District 2 Public Utilities Service Company.
- c. Assist other project agencies, including IMA, in implementing project information disclosure, and facilitating public meetings and consultation with PAPs.
- d. Assist District 2 Resettlement Board, including other district level related agencies such as district Department of Natural Resources and Environment, in identifying the legal owner of the affected land/asset and legal status of the land being affected.
- e. Assist IMA, District 2 Resettlement Board, and other relevant agencies in census surveys, socioeconomic survey, detailed measurement survey, replacement cost survey, and consultation sessions with affected households to support the preparation and finalization of this RAP.

- f. Participate in all activities related to land acquisition and allocation, resettlement, rehabilitation measures and social development support activities.
- g. Support PAPs in all resettlement and rehabilitation-related activities; co-signing compensation documents with the PAPs.
- h. Support in verifying socioeconomic status of the affected households as per current government regulations, and where necessary, the status of vulnerable households who do not fall under the definition of poor households defined by the Ministry of Labor – Invalids and Social Affairs (MOLISA).

Effectively assist in bringing the grievances/complaints from affected households to the District Resettlement Board/ District People's Committee to ensure the grievance redress mechanism established under the project (as outlined in RPF and this RAP) functions effectively. Keeping good record of PAP grievances and maintaining/updating the records of all grievances; assisting and advising PAPs with regards to addressing their grievances/complaints related to land acquisition/resettlement.

7.2 Preparation and Approval Procedures for a subproject Resettlement Action Plan

During project implementation, where land acquisition is required to enable the project to implement as per Project Development Objective, a RAP - specific for the site (here in referred to as subproject RAP) will be prepared by IMA in accordance with the technical requirements set forth in this RPF.

7.2.1 Preparation of RAP

- **Screening**

The preparation of a RAP under a subproject needs to be initiated by the IMA on the basis of the approved technical design for the subproject. Consultation with the relevant agencies, including People's Committee and functional agencies at city and district levels need to be made by IMA to determine the magnitude of impact and direction for mitigation measures.

- **Selection of the type of RAP**

Depending of the magnitude of impact, two types of RAPs are available for use under the project.

Abbreviated Resettlement Action Plan: When the total number of affected people is less than 200 and there are no physical resettlement required for any affected HH, an abbreviated Resettlement Action Plan will be required, subject to review and acceptance by the World Bank. Abbreviated RAP will cover at least the following elements: (1) census survey of affected persons and asset evaluation; (2) description of compensation and other assistance for resettlement; (3) consultation to the affected persons about compensation options; (4) institutional responsibility for implementation and procedures for grievance redress; and (5) arrangements for monitoring and implementation, and (6) a timetable and budget.

Full Resettlement Action Plan: When more than 200 people are affected and/or there are severely affected households, a full RAP will be prepared. Full RAP needs to have: (1)

description of project; (2) potential impacts; (3) objective of RAP; (4) socio-economic studies; (5) legal framework; (6) institutional framework; (7) Eligibility; (8) Valuation of and compensation for losses; (9) resettlement measures; (10) site selection, site preparation, and relocations; (11) houses, infrastructure and social services; (12) environmental protection and management; (13) community participation; (14) integration with host population; (15) grievance procedures; (16) organizational responsibilities; (17) implementation schedule; (18) costs and budget; and, (19) Monitoring and evaluation.

- **Surveys**

Conduct census survey to understand the level of impact at household level, then determine the scope and the depth of the socioeconomic survey for the identified affected households. Consultation and information disclosure could be done in appropriate sequence to affected households understand their entitlements as per RPF and provide their feedback and suggestion for mitigation measures that are important to the livelihood restoration. Replacement costs survey could be done alongside socioeconomic survey to enable prompt update into RAP.

- **Appraisal of RAP**

The appraisal of a subproject (identified during project implementation) will be preceded upon the condition that the RAP (for relevant subproject) is prepared in accordance with the project's RPF. The English version of the RAP should be submitted to the Bank for review for no objection prior to subproject appraisal.

HCMC PC will be responsible for approval of the RAPs and all resettlement-related issues. After detailed engineering designs are completed, a DMS should be carried out to identify exact number of PAPs and affected assets. Compensation unit rates for affected assets will be finalized and issued by HCMC PCs for all categories of lost assets and allowances on the basis of replacement cost surveys conducted during project implementation.

Following the No-Objection by the WB to the subproject RAP, the HCMC PCs will be responsible for overall implementation of the final subproject RAPs. The WB shall not approve any civil works contracts for any project's sections to be financed from the loan unless the compensation payment and provision of rehabilitation measures in the respective sections have been satisfactorily completed, in accordance with the project's RPF.

7.2.2 RAP Approval Procedure

The RAP of each sub-project will have to be submitted to the HCMC PC and the WB for approval before any compensation and resettlement activities are implemented. After the RAPs are approved, the contents of the RAPs should be summarized and disclosed to the relevant PAPs for their information and feedback. A copy of each approved RAP will be disclosed at relevant Ward's PC so that the PAPs can conveniently access. The RAPs will also be disclosed in Vietnamese at the WB's VDIC in Hanoi, and in English at Bank's Infoshop in Washington DC.

7.3 Replacement Costs Survey

As required by the World Bank's OP 4.12 on Involuntary Resettlement, Replacement

Costs Survey (RCS) will need to be done to establish basis for calculation of replacements costs for all the lands/crops/structures/assets affected by the Project. In relation to this, RCS need to be done to establish compensation rates for all RAPs that are prepared under the Project. The local authorities will contract a consulting firm who is specialized in conducting land price appraisal who will work closely with IMA, District People's Committee, and District Resettlement Board established for this Project to ensure compensation payment is at the replacement costs for land and structures, and at market prices for crops/trees.

8. GRIEVANCE REDRESS MECHANISM

- It was recognized that a credible and effective grievance mechanisms is important to ensure all social adverse impacts, particularly those related to land acquisition, are timely and effectively addressed.

The grievance redress procedure shall be implemented as follows:

- **First Stage:** Commune/Ward People's Committee: An aggrieved affected household may bring his/her complaint to the One Door Department of the Commune/Ward People's Committee, in writing or verbally. The member of CPC/WPC at the One Door Department will be responsible to notify the CPC/WPC leaders about the complaint for solving. The Chairman of the CPC/WPC will meet personally with the aggrieved affected household and will have 30 days following the receiving date of the complaint to resolve it. The CPC/WPC secretariat is responsible for documenting and keeping file of all complaints handled by the CPC/WPC.
- **Second Stage:** District People's Committee: If after 30 days the aggrieved affected household does not hear from the CPC, or if the affected household is not satisfied with the decision taken on his/her complaint, the affected household may bring the case, either in writing or verbally, to any member of the DPC or the district Resettlement Board. The DPC in turn will have 30 days following the receiving date of the complaint to resolve the case. The DPC is responsible for documenting and keeping file of all complaints that it handles and will inform the district Resettlement Board of any decision made. Affected households can also bring their case to Court if they want.
- **Third Stage:** City People's Committee (City PC): If after 30 days the aggrieved affected household does not hear from the DPC, or if the affected household is not satisfied with the decision taken on his/her complaint, the affected household may bring the case, either in writing or verbally, to any member of the CityPC. The CityPC has 45 days within which to resolve the complaint to the satisfaction of all concerned. The CityPC is responsible for documenting and keeping files of all complaints handled by the CityPC. Affected households can also bring their case to court if they want.
- **Final Stage:** the Court of Law Arbitrates: If after 45 days following the lodging of the complaint with the CityPC, the aggrieved affected household does not hear from the CityPC, or if he/she is not satisfied with the decision taken on his/her

complaint, the case may be brought to a court of law for adjudication. Decision by the court will be the final decision.

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

However, as first contact point, PAP may contact either the Ward PC (where they have general questions about the project, or complaints related to aspects such as compensation costs, inventory, measurement), or IMA if they have general questions related to project scope/impact/general compensation policies. These dual first contact points provide affected households with choice of channels through which they may ask for clarification.

Since grievances are commonly found in any projects related to land acquisition, to ensure the grievances are timely and effectively addressed, the following measures could be used:

- A recording system for lodging complaints should be established and maintained by both District 2 and IMA, with regular update, to timely and satisfactory solve the grievances.
- In case of verbal complaints, complaints need to be recorded into the recording system for following up and timely resolving.
- Ward PC and IMA should appoint a contact person – each from their side, and include their names, contact phone numbers, mailing addresses (and email if applicable), in the Public Information Booklet (PIB) to enable affected households to conveniently contact for clarification/project information.

At the same time, an escrow account for resettlement payments should be used when grievance is resolving to avoid excessive delay of the project while ensuring compensation payment after the grievance has been resolved.

9. COSTS AND BUDGET

The costs related to the acquisition of land (to meet the objective of the Project) will include the direct costs for payment of compensation to affected households, including compensation to lands/crops/assets associated to land that are permanently as well as temporarily affected as a result of the Project. It also include costs for provision of assistance, as well as support for livelihoods restoration of severely affected households, and any other contingency costs that may be required with a view to meeting the objective of Bank's OP 4.12 (Involuntary Resettlement) as a whole. The budget that covers all the above mentioned costs is from HCMC People's Committee. The HCMC PC is committed to provision of the costs in way that are timely and sufficiently available to enable the implementation of the compensation, support, and resettlement of the affected households as well as any site specific RAP that are clearly identified during project implementation.

10. MONITORING AND EVALUATION

10.1 Purpose

Monitoring and evaluation of the implementation of the RAP are important. Good monitoring and evaluation of RAP implementation will not only enable IMA to identify shortcomings during implementation, thereby making timely corrective actions but also enable them to make sure the objective of the RAP is met when RAP implementation is completed.

Good monitoring enables timely and sufficient collection of the right information related to RAP implementation whereas good evaluation of the RAP implementation outcome enables IMA to determine if the objective of the RAP is met upon completion of RAP, and whether or not the livelihoods of affected households have restored to the pre-project level, or even better.

10.2 Monitoring methods

Monitoring could be done in two ways – internal monitoring by the IMA, and external monitoring by an independent monitoring agency.

Internal monitoring of the RAP implementation is the main responsibility of the IMA, inter alia, in addition to project implementation and management. Monitoring of RAP implementation does not only focus on actual RAP implementation, but also on RAP preparation to ensure the RAP is timely and appropriately prepared and implemented in accordance with the project's RPF. Monitoring of RAP implementation is required by IMA, on a monthly and quarterly basis, to ensure the RAP implementation is on track and that any emerging issues/shortcomings, including complaints from affected households are timely solved.

External Monitoring is carried out by an external consulting firm (typically referred to as independent monitoring agency). IMA, following the effectiveness of the project, needs to procure the independent monitoring service. IMA is suggested to request support from Bank in develop a Terms of Reference to ensure all aspects subject to monitoring and evaluation of the RAP is covered under the consultancy service by the consulting firm. As a rule of thumb, monitoring requires a sample taking for 100% of severely affected households (as defined in this document) and 10% of the remaining affected households. Stratified sampling method is recommended to ensure the sample is representative of the affected population. Monitoring costs will be paid by IMA with a separate budget.

The monitoring of RAP implementation typically focuses on, but not limited to, the following aspects:

- (i) Information Disclosure.
- (ii) Consultation process, socioeconomic survey, and its outcome.
- (iii) Accuracy of the loss of land/assets/crops/businesses of affected households – through census survey, detailed measurement survey.
- (iv) Compensation payment – how, when, whether or not it is made in accordance with the approved RAP(s).

- (v) Resettlement planning and implementation – whether this is done with appropriate consultation with PAP and if it is done in way that assist the prompt livelihood restoration process.
- (vi) Assistance/support in livelihood restoration – whether this is done in a commensurate manner with the magnitude of impact and the ability of the PAP to respond to the impact.
- (vii) Grievance redress mechanism – to check if the GRM functions properly and if grievances are fully and timely addressed to ensure the objective of RAP is met.

Depending on the nature and magnitude of impact, more aspects could be worked out and be monitored by IMA itself or with the support from a consulting firm specialized in monitoring and evaluation of RAP implementation.

10.3 Costs and Budget for Internal and External Monitoring

IMA is required to work out an estimate of costs necessary to undertake both Internal and External Monitoring of all RAP(s) that will be implemented under the Project and to ensure the objective of both Internal and External Monitoring are met. A Terms of Reference for External Monitoring should be prepared during project preparation and submitted to the Bank for review and suggestions.

ANNEX

ANNEX 1. Entitlement Matrix

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
1. Productive land* (Agricultural, garden, pond land, etc.) either in or out of the residential area.	<u>Legal land users</u> 1.1. Marginal loss (<20% of land holding or <10% for vulnerable group) The remaining area of affected plot is still economically viable for use or meets the expected personal yield.	Cash compensation at replacement cost (free from taxes and transaction costs) for the affected area of the land.	<ul style="list-style-type: none"> - Affected households to be notified at least ninety days before land recovery by the Project. - The owner of land will hand over the land within 20 days from the date District Compensation Board fully pays compensation for land. -
	1.2. Loss >20% or >10% for vulnerable groups	Land for land compensation should be as the preferred option. If land is not available, or at the PAP's choice, cash compensation can be provided for the lost area at 100% of land replacement cost. The PAP will be provided with the additional rehabilitation measures to restore the lost income sources	<ul style="list-style-type: none"> - Other assistance options which city could decide based on the locality conditions. - Affected households to be notified at least ninety days

*The sub-categories of productive land such as agricultural, forestry, garden, aquaculture and pond will be compensated at different rates. These will be specified and detailed in the Resettlement Action Plans to ensure the compensation is reflective of current rates and takes into account geographic variation. Land on which businesses are located will be compensated as detailed in the section on relocation of business.

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
			<p>before land recovery by the Project</p> <ul style="list-style-type: none"> - The owner of land will hand over the land within 20 days from the date District Compensation Board/ has paid compensation and other allowances in full. - For poor, vulnerable and severely affected farmers, including landless, allocation of arable land equal to per capita arable land in commune, or if there no land available for allocation or, on the PAPs request through informed choice, training/ rehabilitation programs will be provided to at least restore, if not improve, their income and living standards.
	<u>Land Users with temporary or leased rights to use land.</u>	Cash compensation at the amount corresponding to the remaining investment on the land.	
	<u>Land Users who do not have formal or customary</u>	PAPs will receive assistance corresponding to 80% of land replacement cost. Agricultural land used before July 1, 2004 will be compensated at 100% as per Article 77.2 of the land law.In	

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
	<u>rights to the affected land</u>	addition to above, rehabilitation/training assistance will be provided. In case the PAP uses public land where there was previous agreement to return the land to the Government when so requested, they will not be compensated for the acquired public land but will be compensated for structures, crops, trees and other assets on the land at 100% of the replacement cost.	
2. Residential land	2.1. Marginal loss (i.e., land is still viable for use and not requiring relocation).	Compensation for loss of land in cash at (i) replacement cost to the legal and legalizable land users; (ii) An financial assistance of an agreed amount to the land users not having recognizable land use right. If PAPs have to rebuild their houses, they will receive a house rental allowance for 3 months in recognition of the time needed to rebuild their houses.	- Affected household to be notified at least 180 days before land recovery by the Project. - The owner of land will hand over the land within 20 days from the date District Compensation Board/ has paid compensation in full.
	2.2. Relocated PAPs	(i) <i>Legal or legalizable land users:</i> A land plot in a resettlement site or apartment will be provided to the PAP, in consultation with them. They will have full land title or apartment ownership title without any cost to them. Or, on request of the PAPs through informed choice, cash compensation at full replacement cost plus the amount equivalent to the value of the infrastructure investments calculated averagely for each household in a resettlement site. In this case, they will be expected to relocate themselves. If the compensation amounts is less than the cost of a minimum land plot/apartment in the project's resettlement site, PAPs will be provided additional supported to enable them to acquire the land plot/apartment (or cash assistance will be provided equivalent to this	- Affected household to be notified at least 180 days before land recovery by the Project. - The process of compensation for a plot/apartment for legal and legalizable PAPs at the resettlement site will be as follows: - If the selling cost of minimum plot(s)/apartment at the new site is more than the value of the affected residential land, PAPs

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		<p>difference for self-relocated PAPs).</p> <p><i>(ii) PAPs who do not have formal, or customary rights to the affected land:</i></p> <p>An identified financial assistance of agreed amount will be provided. If the PAP has no place to move, an apartment in the resettlement site will be provided and the PAP can either pay in installment to buy or rent it for living</p> <p>In case the relocated PAP belong to poor or vulnerable groups or HHs, the project will provide assistance to ensure that the PAP is able to relocate and re-establish themselves to a new site.</p>	<p>receive new plot/apartment at no additional cost.</p> <ul style="list-style-type: none"> - If the plot(s)/apartment at the new site is equal the value of affected residential land, PAPs receive new plot/apartment at the new site without any balance. - If the plot(s)/apartment at the new site is less than the value of affected residential land, PAPs will receive plot/apartment and the difference in cash. <p>The planning and detailed design for the relocation sites will be done by consultant of DCB in consultation with stakeholders and then approved by the CPC.</p> <p>Detailed regulation on plot/apartment allocation will be developed by DCB through consultation with commune and PAPs, followed by approval of CPC.</p> <p>For relocating households, assistance is in form of land-for-land of similar characteristics</p>

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
			<p>with title at no cost. The replacement land is no less than 40m², or compensation in cash with equal value if PAPs for self-relocation.</p> <p>Area and number of land plot/apartment in resettlement sites will be decided in consultation with PAPs.</p>
			<p>For poor or vulnerable PAPs who have no other residential land in the same as their affected commune, the project will provide an apartment and the PAPs can either pay in installment to buy or rent it for living</p>
3. Houses	3.1. Partial impact: Unaffected portion of the house is still viable for use and could be remained from the technical viewpoints, therefore,	<p>- If house/structure is partially affected and the remaining structure is viable for continued use, the project will provide a house/structure repair cost, in addition to the compensation for affected portion at replacement cost, to enable PAPs to restore it to former or better conditions.</p> <p>- Compensation for other structures/fixed assets will be at full replacement cost and will be in cash.</p>	<p>The calculation of rates will be based on the actual affected area and not the useable area.</p>

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
	require no relocation.		
	3.2. Full impact (i.e., house is partially acquired by the project but no longer viable for continued use or the entire structure is acquired).	<p>- Compensation in cash for entire affected structures will be provided at 100% of the full replacement cost for materials and labor, regardless of whether or not they have title to the affected land or permit to build the affected structure. The amount will be sufficient to rebuild a structure the same as the former one at current market prices. No deductions will be made for depreciation or salvageable materials.</p> <p>- Compensation for other structures/fixed assets will be at full replacement cost and will be in cash. Tenants of state or organization's houses will be: (i) entitled to rent or buy a new apartment of the area at least equal to their affected ones; or (ii) provided an assistance equal 60% of replacement cost of the affected land and houses. Any investments such as structures, trees, crops etc. made on the land by the PAPs will be compensated at their full replacement cost.</p> <p>The tenants who are leasing a private house for living purposes will be provided with transportation allowance for moving their assets. They will also be assisted in identifying alternative accommodation.</p>	The calculation of rates will be based on the actual affected area and not the useable area.
4. Crops and Trees, aquaculture products	Owners regardless of tenure status	For annual and perennial standing crops or trees, aquaculture products regardless of the legal status of the land, compensation in cash will be paid to the affected persons, who cultivate the land, at full replacement cost in local markets to ensure the compensation is sufficient to replace the lost standing crops, trees or aquaculture products.	PAPs will be given notice several months in advance regarding evacuation. Crops grown after issuance of the deadline will not be compensated.
5. Public structures	Loss of, or damage to assets	Either in (i) cash compensation to cover the cost of restoring the facilities or (ii) in kind compensation based on the negotiation	For public structures, the displacement will be carried out

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		between District Compensation Board and owners of assets.	by the owners prior to the start of works.
6. Communal-owned assets, collective assets	Loss of, or damage to assets of village, ward, commune, district, provincial government unit.	Either (i) cash compensation to cover the cost of restoring the facilities or (ii) in kind compensation based on the negotiation between DCB and owners of assets.	For the communal owned assets directly affecting lives and production activities of the community, restoration must be done prior to the start of works.
7. Graves	Have to move the graves or tombs	<ul style="list-style-type: none"> - All costs of excavation, relocation and reburial will be reimbursed in cash to the affected family. - Graves to be exhumed and relocated in culturally sensitive and appropriate ways. 	
8. Loss of Income/ Livelihood due to loss of productive land	<p>Impacts due to permanent loss of 20% or more of their total productive land or where <20% land affected but the remaining land is rendered unviable.</p> <p>(Legal, legalizable land users and PAPs with lease agreement over</p>	<p>- Allowance for Loss of Livelihood: Affected person will be compensated with one-time payment at cash of three hundred (300) thousand VND/person/month, including:</p> <p>(a) : Affected households losing 20% to 70% of their agricultural land will be assisted for 6 months if the remaining land is viable for continued use, and for 12 months in case the remaining land is rendered unviable and entire land is acquired by the project. In some special cases, in extremely difficult areas, the assistance may be given up to a maximum of 24 months;</p> <p>(b) Affected households losing more than 70% of their agricultural land acquired will be assisted for 12 months if the remaining land is viable for continued use, and for 24 months in case the remaining land is rendered unviable and entire land is acquired by the project. In some special cases, in extremely difficult areas, the assistance may</p>	

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
	the affected land)	<p>extend to a maximum of 36 months; In addition, these PAPs will be targeted for livelihood restoration program;</p> <p>(c) households affected by loss of <20% of land and the remaining land is rendered unviable for continued use, the PAPs will be provided assistance for 12 months; <i>Assistance for agricultural, garden and pond land in the residential area adjacent to residential land, but not recognized as residential land:</i> Additional assistance (40% of the cost of compensation for the adjacent residential plot) for garden land and pond land; and (at 50% of the cost of compensation for the adjacent residential plot) for agricultural land.</p> <p>In case of land-for-land compensation, PAP will be assisted with seedlings, agricultural-forestry extension programs, husbandry etc.</p> <p><i>Vocational conversion assistance:</i> Every PAP affected by loss of productive land, irrespective of the degree of impact, will be provided with additional assistance equivalent to at most 5 times the agricultural land price established by PPC/CPC.</p> <p><i>Support for vocational training and job creation:</i> At least one member of households affected by loss of productive land will be entitled to vocational training and assistance in getting employment in the province. The PAPs participating in such training programs will be exempted from payment of tuition fees course will be paid directly to the vocational training centers. After finishing training courses, they will be given priority to be recruited in local manufacturing industries.</p>	

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
9. Loss of Income/ Livelihood due to relocation of business	Marginal impacts		
	<i>Owner of the affected business and employees</i>	<p>For PAPs losing income and/or business/productive assets as a result of land acquisition, the mechanism for compensating will be:</p> <p>(i) Allowance for Business Loss: All affected businesses and production households whose income is affected will be compensated or supported for losses in business equivalent to 50% of their actual annual income: (a) For licensed businesses the compensation will be based on their average yearly income declared with the taxation agency over the previous three years, and (b) For unregistered affected businesses but have made their tax obligations the compensation will be supported by 50% of the specified (ii) Employees who are affected by acquisition of residential/commercial land acquisition, public land or land of enterprises: Allowance equivalent to the minimum salary as per the provincial regulations to affected employees during the transition period for a maximum of 6 months, and will be assisted in finding alternative employment.</p>	
	<i>Relocating shop owners regardless of tenure status.</i>	<p>If the business has to be relocated, the project will provide alternative site with local advantage and physical attributes similar to the land lost with easy access to customers base, satisfactory to the PAP, OR compensation in cash for the affected land and attached structures at replacement cost, plus transportation allowance for movable attached assets.</p>	<p>PAPs will be given priority for business relocation at conveniently located 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 Loss/ Impacts	Application	Entitlements	Implementation Arrangements
10. Allowances /Assistance Targeted Vulnerable Households	Loss of land and non-land assets <i>Affected vulnerable groups regardless of severity of impacts. The vulnerable groups were defined as in Terms of Terminology</i>	<p>Specific assistance to vulnerable groups would be as follows:</p> <ul style="list-style-type: none"> - For landless households, assistance through provision of an apartment that PAP can either pay in installment to buy or rent it for living. - Social Policy: (i) Relocated Households that include heroic mothers, heroic armed force, heroic labor, war veterans, wounded or dead soldiers families will be provided with support as regulated by the PPCs from 2 million to 6 million VND per household; (ii) Poor Relocated Households or Poor Households where 20% or more of their productive land is affected or where <20% land is affected but the remaining land is rendered unviable: 3-5 mil/HH (to be certified by local authority). - Other vulnerable groups affected by the Project, whether they have to relocate or not, (female headed households with dependents, households with disabled persons, elderly without any source of support, ethnic minority households) will get the same support given to poor households in accordance with the provincial policy but not less than VND 3 mil per household. - These households are entitled to take part in Income Restoration Program 	<ul style="list-style-type: none"> - Allowance for households as per Government regulation (social policy households, heroic mothers, wounded, dead soldiers). If the household eligible to more than one additional support allowance for the vulnerable people, only one package with the highest value will be applied
11. Other Allowances/ Assistances	Loss of land and non-land assets	<p>Incentive Bonus: All PAPs who vacate the affected land immediately after receiving compensation and allowances will be given an incentive allowance of 3-5 mil VND.</p> <p>Repair Allowance: If house/structure is partially affected and the remaining structure is viable for continued use, the project will provide a repair allowance equivalent of 20% of compensation for the affected part of the structure to enable PAPs to restore it to former or</p>	

Type of Loss/ Impacts	Application	Entitlements	Implementation Arrangements
		<p>better conditions.</p> <p>The relocating households with children who are going to schools will be supported with 1-year tuition as regulated by the Ministry of Education</p> <p>Based on the actual situation of the locality, the PPC Chairman issues other allowances to ensure accommodation and livelihood restoration for PAPs.</p>	
12. Temporary impacts	Temporary loss of land and assets.	<p>Compensation for all damaged or lost assets, including trees, crops at full replacement cost</p> <p>Rental in cash for the land acquired at a rate which will be no less than the net income that would have been derived from the affected property during disruption;</p> <p>Restoration of the land within 3 months after use: The contractor is expected to return the land in its original condition within 3 months of the termination of the civil works.</p>	<p>If the quality of land is radically changed when returned to PAPs, requiring PAPs to change in the types of land use; then PAPs should be compensated for all envisaged cost of losses.</p>
13. Any other impacts that may be identified during implementation	Individuals, organizations in the project area	<p>Entitlements to compensation and other assistance would be provided in accordance with the compensation policy.</p> <p>Secondary impacts on production and business or PAPs isolated from access to resources temporarily have to be compensated and supported in accordance with RAP.</p>	<p>In case of impacts on livelihoods of PAPs, the contractors, construction units have to agree with the households on payment for disruption of business.</p>

ANNEX 2. Information Required for a RAP

1. A full RAP needs to consist of the following information and analysis:

- Description of the sub-project and its potential impacts;
- Negative impacts of the sub-project;
- Main resettlement objectives;
- PAP's socio-economic survey;
- Resettlement legal framework;
- Resettlement institutional framework;
- Categories of the PAPs and their eligibility standards;
- Procedures of price determination and compensation for losses and damages;
- Resettlement measures;
- Selection of resettlement sites, preparation of resettlement sites, and movement;
- Houses, infrastructure, and social services at resettlement sites;
- Environmental management and protection at proposed resettlement sites;
- Mechanism of community participation and consultation;
- Measures for displaced people integrating into receiving communities;
- Grievance mechanism;
- Responsibilities of organization and implementation;
- Resettlement implementation plans;
- Costs and budget allocation;
- Monitoring and evaluation.

2. An abbreviated RAP needs to consist of the following information and analysis:

- A survey of the PAPs and determination of affected assets;
- Description of compensation and other resettlement assistance that will be provided for the PAPs;
- Consultation with the PAPs for acceptably alternative measures;
- Responsibilities for organization and implementation and grievance settlement procedures;
- Arrangements for implementation and monitoring; and
- Time frame and implementation budget.

ANNEX 3.

EXISTING LAND STATUS (WITHIN THE 14M RIGHT OF WAY OF THE INTERCEPTOR)

Please note:

- There are NO houses located within the 14m right of way of the Interceptor from Shafts S0 to S15. For the Interceptor section from Shaft S15 to S19, there are some 60 houses located within the 14m right of way. These houses DO NOT NEED to be physically relocated since the Interceptor will be laid underground using pipe jacking technology, which will not affect existing houses on the top of it.
- On the basis of the agreement made with all relevant land users where the Interceptor will go through (albeit underground), the Document No 1856/UBND-QLDA dated 05/05/2014 was issued by HCMC PC approving the alignment of the Interceptor.
- Where “River Corridor” is noted (in the Table below), “River Corridor” means the area with approximately 50m in cross section (from the higher edge of the river) that was designated by the government as a River Corridor which should be protected, thereby no heavy structures are allowed to be built within the River Corridor (Decision No. 150/2004/QĐ-UB dated 9 June 2004 issued by HCMC People’s Committee). In line with this Decision, all project developers, including those listed in the Table below, has been required (in their project’s construction permit) to leave a 50m River Corridor.

Interceptor (sections by shafts)	Length (m)	Current land status (within the 14m Interceptor right of way)	Future land status	Comments	Project Developers
EBS – S0	8.8	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	No land acquisition required under this project	Thu Thiem Board
S0-S1	506.2	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	No land acquisition required under this project	Thu Thiem Board
S1-S2	305	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	No land acquisition required under this project	Thu Thiem Board
S2-S3	550	Vacant land (owned by government, managed by Thu Thiem Board)	Park	No land acquisition required under this project	Thu Thiem Board
S3-S4	569	Vacant land (owned by government, managed by Thu Thiem Board)	Park	No land acquisition required under this project	Thu Thiem Board

Interceptor (sections by shafts)	Length (m)	Current land status (within the 14m Interceptor right of way)	Future land status	Comments	Project Developers
S4-S5	364	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	No land acquisition required under this project	Thu Thiem Board
S5-S6	95	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	No land acquisition required under this project	Thu Thiem Board
S6-S7	385	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	No land acquisition required under this project	Thu Thiem Board
S7-S8	130	Bridge access (Ca Tre Lon bridge)	Bridge access (Ca Tre Lon bridge)	No land acquisition required under this project	Public land
S8-S9	580	Vacant land First section (414.5m): government land, managed by Thu Thiem Board. Second section (165.5m): owned by 21 st Century Company	Park Internal Road (of 21 st Century Company)	No land acquisition required under this project	Thu Thiem Board 21 st Century Company
S9-S10	265	Vacant land (cleared and owned by 21 st Century Company)	Internal Road (of 21 st Century Company)	No land acquisition required under this project	21 st Century Company
S10-S11	1028	Saigon River	Saigon River	No land acquisition required under this project	Government managed
S11-S12	500	Vacant land (owned by Huy Hoang Company)	Internal Road along Saigon River	No land acquisition required under this project	Huy Hoang Company
S12-S13	275	Vacant land (cleared and owned by PhuNhuan Company)	Internal Road along Saigon River	No land acquisition required under this project	Phu Nhuan Housing Company
S13-S14	338	<i>This Interceptor section will go through project area of two owners.</i> First owner: PhuNhuan Company (292.3m long). Already cleared and	Internal Road	No land acquisition required	PhuNhuan Housing

Interceptor (sections by shafts)	Length (m)	Current land status (within the 14m Interceptor right of way)	Future land status	Comments	Project Developers
		owned by. This section is vacant. Second owner: Ham Long Artisan village (45.7m). This section has 15 houses (single storey) located within Interceptor 14m right of way. However, these houses do not need to resettle for the purpose of Interceptor laying. They could remain intact.	along Saigon River Internal Road along Saigon River	under this project No land acquisition required under this project	Company Ham Long Artisan Village
S14-S15	230	Vacant land	Internal Road along Saigon River	No land acquisition required under this project	Ham Long Artisan Village
S15-S16	370	<i>This Interceptor section will go through project area of two owners.</i> Ham Long Artisan Village (208.0m). Vacant land with 1 single storey house). No resettlement is required for this household for the purpose of Interceptor laying. Thanh My Loi housing project area (162m, vacant land with one single storey house). No resettlement is required by the household for the laying of the interceptor.	Internal Road Internal Road	No land acquisition required under this project No land acquisition required under this project	Ham Long Artisan Village Thanh My Loi Company
S16-S17	200	Vacant land (with 4 single storey houses). No resettlement is required by these households for the laying of the interceptor.	Saigon river corridor	No land acquisition required under this project	Thanh My Loi Company

Interceptor (sections by shafts)	Length (m)	Current land status (within the 14m Interceptor right of way)	Future land status	Comments	Project Developers
S17-18	450	Vacant land (with 19 single storey houses). No resettlement is required by these households for the laying of the interceptor.	Saigon river corridor	No land acquisition required under this project	Thanh My Loi Company
S18-S19	370	Existing residential area (with 32 single storey houses). No resettlement is required by these households for the laying of the interceptor.	Road N.4 (to be managed by government)	No land acquisition envisaged at this stage under this project	Thanh My Loi Company
S19-S20	444	Vacant land	Road N.4 (to be managed by government)	No land acquisition required under this project	Thanh My Loi Company

EXISTING LAND STATUS AT 21 SHAFT LOCATIONS

(EACH SHAFT WILL BE LESS THAN 11 METER IN DIAMETER)

Please note:

- There are NO houses/physical structures that are found located within the area required for installation of all 21 shafts (11m in diameter) as of 5 August 2014.
- Most of the shaft locations are within the public land (which mean no compensation is required and land users have agreed to the shafts to be installed). However, there are six shaft locations (Shafts S14, 15, 16, 17, 18, and 19, highlighted in Table below) where land may be acquired from private local households. Consultations with these households indicated that they support project implementation, of which Shafts No. S16, 17, 18, and 19 are within the Thanh My Loi project area.

No	Shaft	Outer diameter (m)	Area of shaft on the ground upon completion (m)	Area (m ²) temporarily required to build access road (for construction)	Existing way to be used as access road (for the construction)	Area (m ²) required temporarily for installation of shafts	Current land status (within the 14m Interceptor right of way)	Future land status	Depth of shaft from the existing ground elevation to the shaft invert elevation (m)	Remark
1	EBS			0	Waterway		Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	33.6	This shaft has been constructed from Phase 1
									7.69	

No	Shaft	Outer diameter (m)	Area of shaft on the ground upon completion (m)	Area (m ²) temporarily required to build access road (for construction)	Existing way to be used as access road (for the construction)	Area (m ²) required temporarily for installation of shafts	Current land status (within the 14m Interceptor right of way)	Future land status	Depth of shaft from the existing ground elevation to the shaft invert elevation (m)	Remark
2	S0	10.4	1.85x2.35	0	Waterway	3952	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	7.19	All the Project Owners agreed with the Interceptor alignment which was approved by HCMC PC via Document No 1856/UBND-QLDA dated 05/05/2014.
									12.6	
3	S1	10.4	1.85x2.35	480		3900	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	10.66	
4	S2	10.4	1.85x2.35	1880		3904	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	11.54	

No	Shaft	Outer diameter (m)	Area of shaft on the ground upon completion (m)	Area (m ²) temporarily required to build access road (for construction)	Existing way to be used as access road (for the construction)	Area (m ²) required temporarily for installation of shafts	Current land status (within the 14m Interceptor right of way)	Future land status	Depth of shaft from the existing ground elevation to the shaft invert elevation (m)	Remark
5	S3	10.4	1.85x2.35	817		3900	Vacant land (owned by government, managed by Thu Thiem Board)	Park	12.49	
6	S4	10.4	1.85x2.35	57		3771	Vacant land (owned by government, managed by Thu Thiem Board)	Park	13.76	
7	S5	10.4	1.85x2.35	0	Constructed road (Mai Chi Tho)	7190	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	14.65	

No	Shaft	Outer diameter (m)	Area of shaft on the ground upon completion (m)	Area (m ²) temporarily required to build access road (for construction)	Existing way to be used as access road (for the construction)	Area (m ²) required temporarily for installation of shafts	Current land status (within the 14m Interceptor right of way)	Future land status	Depth of shaft from the existing ground elevation to the shaft invert elevation (m)	Remark
8	S6	10.4	1.85x2.35	0	Constructed road (Mai Chi Tho)		Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	14.78	
9	S7	10.6	1.85x2.35	0	Constructed road (Mai Chi Tho)	3900	Vacant land (owned by government, managed by Thu Thiem Board)	River corridor (Public land)	17.13	
10	S8	10.6	1.85x2.35	0	Constructed road (Mai Chi Tho)	3900	Vacant land (near Ca Tre Lon bridge)	Public land (along Ca Tre Lon bridge)	14.59	

No	Shaft	Outer diameter (m)	Area of shaft on the ground upon completion (m)	Area (m ²) temporarily required to build access road (for construction)	Existing way to be used as access road (for the construction)	Area (m ²) required temporarily for installation of shafts	Current land status (within the 14m Interceptor right of way)	Future land status	Depth of shaft from the existing ground elevation to the shaft invert elevation (m)	Remark
11	S9	10.6	1.85x2.35	0	Constructed road (Mai Chi Tho)	3891	Vacant land (owned by 21st Century Company - private company)	Internal Road of 21st Century Company)	17.39	
12	S10	10.6	1.85x2.35	0	Waterway	3628	Saigon River	Saigon River	17.84	
13	S11	10.6	1.85x2.35	0	Waterway	3900	Vacant land (cleared and owned by Huy Hoang Company)	Road along Saigon River	18.06	
14	S12	10.6	1.85x2.35		Waterway	3850	Vacant land (cleared and owned by Huy Hoang Company)	Road along Saigon River	19.11	

No	Shaft	Outer diameter (m)	Area of shaft on the ground upon completion (m)	Area (m ²) temporarily required to build access road (for construction)	Existing way to be used as access road (for the construction)	Area (m ²) required temporarily for installation of shafts	Current land status (within the 14m Interceptor right of way)	Future land status	Depth of shaft from the existing ground elevation to the shaft invert elevation (m)	Remark
15	S13	10.6	1.85x2.35		Waterway	3768	Vacant land (cleared and owned by PhuNhuan Company)	Road along Saigon River	16.51	
16	S14	10.6	1.85x2.35			3832	Private household (part of Ham Long Artisan Village)	Road along Saigon River	19.85	Agreement MOU with Ham Long village and the one potentially affected household for land acquisition for project purpose
17	S15	10.6	1.85x2.35		Waterway	4157	Private household (part of Ham Long Artisan Village)	Road along Saigon River	19.42	Agreement MOU with Ham Long village and the one potentially affected household for land acquisition for project purpose
18	S16	10.6	1.85x2.35		Waterway	3923	Private household	Saigon river corridor	19.15	Under Thanh My Loi's project but not yet acquired from private households

No	Shaft	Outer diameter (m)	Area of shaft on the ground upon completion (m)	Area (m ²) temporarily required to build access road (for construction)	Existing way to be used as access road (for the construction)	Area (m ²) required temporarily for installation of shafts	Current land status (within the 14m Interceptor right of way)	Future land status	Depth of shaft from the existing ground elevation to the shaft invert elevation (m)	Remark
19	S17	10.6	1.85x2.35		Waterway	4106	Private household	Saigon river corridor	20.07	Under Thanh My Loi's project but not yet acquired from private households
20	S18	10.6	1.85x2.35		Waterway	3902	Private household	Internal Road	20.25	Under Thanh My Loi's project but not yet acquired from private households
21	S19	10.6	1.85x2.35	2658		3895	Private household	Internal Road	19.77	Under Thanh My Loi's project but not yet acquired from private households
22	S20	10.6	1.85x2.35	390		3900	Inside the WWTP	WWTP	21.08	To be compensated as part of the RAP for the WWTP